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ABSTRACT

This document presents a study of the historical origins and outcomes of the practice of elected faculty representation on the Board of Trustees of Roosevelt University. It examines the reasons why the University's founders chose to adopt this mode of governance when they established the institution in 1945, and the University's experience with the practice of faculty trusteeship over the succeeding 25 years. This historical analysis of the experience of the governing board of Roosevelt University is set in the context of American higher education by means of (1) a brief discussion of the origins and functions of the governing boards of American colleges and universities; (2) a review of the major previous studies of governing boards; (3) an historical analysis of the issue of faculty representation on college and university governing boards; and (4) an examination of the extent to which faculty representation on the governing board has been or is being adopted as a mode of governance among institutions of higher education. (Author/HS)

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FACULTY TRUSTEESHIP IN HIGHER EDUCATION

A STUDY OF THE GOVERNANCE OF ROOSEVELT UNIVERSITY

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August 1971

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PART I

INTRODUCTION

This study has attempted to explore the history of faculty participation on the Board of Trustees of Roosevelt University which has had more experience with this mode of government than virtually any other American college or university. Chapter I is an exposition of the background, objectives, and methodology of the study.

CHAPTER I

A STUDY OF FACULTY TRUSTEESHIP AT ROOSEVELT UNIVERSITY

Overview of the Study

This research is a study of the historical origins and outcomes of the practice of elected faculty representation on the Board of Trustees of Roosevelt University. It examines the reasons why the University's founders chose to adopt this mode of governance when they established the institution in 1945. The study also examines Roosevelt University's experience with the practice of faculty trusteeship over the succeeding twenty-five years. Particular inquiry is made as to how this governing structure operated during two critical episodes between 1958 and 1964. Roosevelt University is a significant institution in which to study faculty trusteeship because with faculty-elected voting trustees on its Board since 1945, comprising between 17 and 25 per cent of the total Board membership, it has had the most extensive experience with this mode of governance of any existing accredited college or university.

This historical analysis of the experience of the governing board of Roosevelt University is set in the context of American higher education by means of (1) a brief discussion of the origins and functions of the governing boards of American colleges and universities; (2) a review of the major previous studies of governing boards; (3) an historical analysis of the issue of faculty representation on college and university governing boards as discussed in the literature on higher education; and (4) an examination of the extent to which faculty representation on the governing board has been or is being adopted as a mode of governance among the institutions of higher education in the United States.

The first two of these matters is discussed in Chapter II. The second two are considered in Chapter III.

Chapter IV is concerned with the historical origins of faculty trusteeship at Roosevelt College:[1] why this mode of governance was adopted and the expectations of the founders with regard to it. Chapter V considers the experience of the institution with this practice over the subsequent twenty-five years of its history. To further illuminate the functioning of faculty trusteeship as a mode of governance and to consider, in particular, how it operated in periods of institutional stress, Chapter VI is devoted to an analysis of the experience of faculty trusteeship during two periods of crisis within the institution. Chapter VII concludes the study by providing a summary and a formulation of some general conclusions as well as suggestions for further research.

The remainder of Chapter I is concerned with further introducing this study. This introduction includes a discussion of (1) the objectives of this study, (2) how the study arose and its current relevance to higher education, (3) a brief review of the history of Roosevelt University, (4) an overview of the organization and operation of the governing board of Roosevelt University compared with the boards of comparable academic institutions, and (5) a discussion of the methodology employed in conducting the study.

Research Objectives

This study attempts to contribute to the understanding of administrative theory and practice in higher education by exploring the reasons why Roosevelt University chose to adopt the relatively unconventional pattern of faculty trusteeship at its founding. It examines that institution's experience with this mode of governance since 1945, with a particular look at two critical episodes betwen 1958 and 1964. The principal questions which this research attempts to answer are: Why did Roosevelt College adopt the practice of having the faculty elect five[1] of its members to be trustees? and, What have been the outcomes of that practice in the institution's governance?

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[1] Roosevelt College became Roosevelt University on September 1, 1954. When the term "College" is used in this paper it refers to the institution before that date.

Additional questions which guided this study and to which answers were sought are: Did faculty trusteeship function as was intended by the institution's founders? If not, what factors or events accounted for the discrepancies? Were there issues or instances in which the faculty trustees played a significant or decisive role? How did the faculty trustees function during critical periods in the history of Roosevelt University? Did these trustees help or hinder the resolution of these crises? Did the faculty trustees assume particular roles during crisis periods or at other times? In situations of conflicting interests, whose interests were served by the faculty trustees? Did the faculty trustees behave during periods of crisis in ways similar to their behavior in general?

In undertaking this study of faculty trusteeship it was believed that it would lead to generalizations regarding the role and functioning of faculty trustees at the institution under study. It was thought possible to analyze the role faculty trustees play in the development and resolution of university crises. And it was hoped that this study of an institution with a very high degree of faculty representation on its governing board would illuminate the consequences of this mode of governance at that institution and shed light on the possible consequences of faculty trusteeship at other institutions. It was thought that the consequences of this mode of governance would be more clearly visible at Roosevelt University than at institutions with a smaller number of faculty trustees or experiencing this practice over a shorter period of time.

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[1] Later this number was increased to six and then seven as the Board grew in size.

Current Interest in Faculty Trusteeship

The historic pattern in American higher education is that institutional governance is vested in a board of laymen. This governing board is representative of the public (or publics) in whose interests the institution operates. Although for many years there have been challenges to this pattern, which are discussed in Chapter III, the lay governing board has prevailed with very few exceptions. In recent years the legitimacy and efficiency of this governing structure have been questioned in many quarters. These challenges have revived and intensified the debate about the purposes, functions, and composition of college and university governing boards. A number of institutions have acted, or are considering action, to change or broaden the composition of their boards. Some of these changes have included membership for faculty and student representatives, two groups hitherto not found on governing boards.

Recent National Developments on Governing Boards

College and university governing boards which seemed to retain a relatively stable composition over long periods of time are now experiencing changes reflecting the concern on the part of many that these boards need to be broadened and democratized. A few of these recent developments include:

a. A recommendation by a committee at Stanford University that students and faculty serve as members of trustee committees, including the nominating committee.[1]

b. A recommendation by the President to the Board of Trustees of Brandeis University that two students be elected to sit as voting members of various board committees and participate at board meetings.[2]

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[1] Intercollegiate Press Bulletins, XXXIV, No. 8 (October 6, 1969), 46-48.

[2] Ibid., No. 11 (October 27, 1969), 66.

c. Reorganization of the Board of Trustees of Wesleyan University to include students and faculty as voting members of the five standing committees, and the inclusion of recent graduates, non-alumni, and women on the board.[1]

d. Student representation with full voting rights on the Boards of Trustees of the University of Connecticut, the University of Maine, and the University of Massachusetts, as well as, by state law, on the governing boards of all other state colleges and universities in Massachusetts.[2]

e. Student representation without vote on the governing boards of the University of Kentucky, the University of Washington, and the University of Wyoming, and a proposal for the same measure at his institution from the president of the University of Vermont.[3]

f. Reorganization of the nominating committee of the Board of Trustees of Colgate University to include a faculty member and a student.[4]

g. The election by Vassar College of a young (22-year-old) alumna to its Board of Trustees.[5]

h. A suggestion by the governor of Maryland that the Board of Regents of the University of Maryland should be expanded to give representation to Negroes and young people.[6]

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[1] _Ibid._, No. 12 (November 3, 1969), 67-68.

[2] _For Your Information_, Circular No. 144 (October 7, 1969), Office of Institutional Research, National Association of State Universities and Land-Grant Colleges, Washington, D.C., p. 1.

[3] _Ibid._

[4] _Higher Education and National Affairs_, XVIII, No. 37 (October 24, 1969), 8.

[5] _Ibid._, No. 39 (November 7, 1969), 7.

[6] _The EPE 15-Minute Report for College and University Trustees_, VI, No. 3 (November 3, 1969), 1.

i. A decision by the Board of Trustees of Columbia University to be responsive to new ideas and viewpoints by (among other things) eliminating life terms for all new members.[1]

j. The addition of a student with full voting privileges to the board of Wake Forest University, Wake Forest, North Carolina, on November 12, 1969.[2]

k. Recommendations from a student-faculty committee to the Board of Trustees of Tufts University to increase faculty, student and alumni participation in University governance, including allowing participation in meetings of trustee committees of representatives chosen by faculty and students.[3]

l. The election by their peers of three student and three faculty representatives, each with full voting power, to the Board of Trustees of Otterbein College (a small, private, coeducational institution in Westerville, Ohio). At the same time, this board voted to reduce its size from 45 to 24 members.[4]

m. The election of a twenty-one year old senior student to the Board of Trustees of Denison University.[5]

n. A decision by the Massachusetts Institute of Technology to add five recent graduates to its governing corporation in order to "place greater emphasis on the perspective of recent student experience."[6]

---

[1] Ibid., No. 4 (November 14, 1969), 1.

[2] Ben C. Fisher, Duties and Responsibilities of College and University Trustees (Raleigh, North Carolina: North Carolina Board of Higher Education, 1969), p. 4.

[3] Intercollegiate Press Bulletins, XXXIV, No. 19 (January 5, 1970), 109-10.

[4] Andrew H. Malcolm, "Students at Otterbein College in Ohio Elect 3 of Their Number to Board of Trustees; Faculty Votes Today," New York Times, October 20, 1970, p. 27.

[5] AGB Notes, II, No. 4 (April, 1971), [4].

[6] Ibid.

o. The election of a young alumna to the governing board of Sweetbriar College.[1]

p. A decision by the board of Park College, Kansas City, to open its general meetings to faculty, students, staff, alumni and parents so as to "improve communications between all segments of the college community."[2]

q. An announcement by the governor of Pennsylvania that a student will be added to the Board of Trustees of Pennsylvania State University.[3]

These examples reveal the extent to which the traditional mode of governance in American higher education is being challenged and re-evaluated. Faculty trusteeship, with which this study was particularly concerned, may be seen as a special case of the more general movement to democratize governing boards.

Arguments For and Against Faculty Trusteeship

Some of the arguments for and against faculty representation on the governing board have been summarized by Rauh:

> The classic argument against this concept rests on the assumption that the board's primary function is to maintain an impartial stewardship, balancing the interests of the various constituencies against the public interest, which is explicit in the tax-supported institutions and implicit in the privileged position of the private institution. If one holds with this concept of the board, then a faculty member sitting on the board becomes the representative of a special constituency, and a conflict of interest between the needs of his following and the broader needs of the institution may develop.
>
> It can be argued, however, that in some colleges the president may not be viewed as adequately representing the faculty, and in those cases some would

---

[1] New York Times, May 2, 1971.

[2] AGB Notes, II, No. 5 (May-June, 1971), [3].

[3] "Student Trustee at Penn State," Chronicle of Higher Education, V, No. 35 (June 7, 1971), 4.

> say he represents a special administrative interest which, in equity, should be counterbalanced.[1]

Another formulation of the argument on this issue was made by Algo Henderson:

> It can be argued that the primary work of an institution is the operation of an educational program; therefore, those who know most about the job--the professors--should be represented on the board. Many faculty have thus contended. Their principal concern usually is to protect academic freedom, about which they have a better understanding and feel more zealous than do lay trustees. They may, however, influence the board in other desirable ways because of their expertness of knowledge and because they must implement many of the decisions. On the other hand, a faculty-dominated board can become highly introverted and lead the institution down the most conservative of academic paths to the point that it becomes remote from the "real world of affairs."
>
> The opposing contentions cite the advantages of having members who are personally free from involvement, who can look at the institution and its problems objectively and disinterestedly. The infusion of faculty into the board, it is said, can lead to muddy waters in administrative responsibility.[2]

In view of this interest and activity with regard to broadening the membership of college and university governing boards, it is both appropriate and timely to undertake a study of the experience of an institution that has had faculty representation on its governing board for two and one-half decades. It is hoped that those who contemplate adding faculty representatives to a college or university governing board will find this study of the origins and outcomes of faculty trusteeship at Roosevelt University both interesting and useful.

Brief History of Roosevelt University

A history of the founding of Roosevelt College and University from its founding to its emergence as an autonomous independent component of the spectrum of higher education in the

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[1] Morton A. Rauh, The Trusteeship of Colleges and Universities (New York: McGraw-Hill Book Company, 1969), p. 102.

[2] Algo D. Henderson, "The Role of the Governing Board," AGB Reports, X, No. 2 (October, 1967), 12.

Chicago community is the subject of a doctoral dissertation in progress by Thomas C. Lelon, an alumnus of that institution, for the Department of Education of the University of Chicago. A history of that depth and detail is beyond the scope of this study. Nonetheless, in order to focus the issue of faculty trusteeship at that institution it is important to review some of the major elements of its history.

Roosevelt College was founded on April 17, 1945, by its first president and a board of six men. Initially, the institution was to have been called Thomas Jefferson College, but the death of Franklin D. Roosevelt moved its founders to adopt his name.

The college grew out of the Central YMCA College of Chicago. In a controversy over academic freedom and discrimination with the governing board of that institution, which was to be an important determinant in the character of the new institution, the president resigned his position. A group of some sixty-eight members of the faculty, including the dean of faculties, resigned from the Central YMCA College and joined him in the establishment of the new college.

Classes began in September, 1945, with over 1,300 students in somewhat makeshift office facilities in downtown Chicago. The enrollment of Roosevelt College, as of most other academic institutions, was soon swelled by an influx of returning veterans. In February, 1946, nine students were awarded bachelor's degrees in the College's first commencement. Because Roosevelt College was in fact a continuation of a predecessor institution, moving a faculty, administrative staff, student body and library virtually intact, it was able to apply for accreditation from the North Central Association of Colleges and Secondary Schools almost immediately. This accreditation was granted in March, 1946.

Some of the flavor of this early period is evident in the enthusiasm, confidence, and pride expressed in this excerpt from a report by the Dean of Faculties to the Board of Trustees on December 17, 1945.

> If it is foolhardy for 68 men to resign their jobs without assurance of future security, the faculty of Roosevelt College was foolhardy.
>
> If it is impossible to remodel an 11-story building in 33 days, equipping it with classrooms, library, laboratories, and offices, Roosevelt College was an impossibility.
>
> If it is absurd for a new college to offer such subjects as advanced calculus, to apply for accreditation 6 days after the opening of school, and to graduate a class at the end of the first 17 weeks, then Roosevelt College is absurd.
>
> If it is radical to teach future labor leaders, as well as future business men, the mysteries of accounting; if it is radical to supply Jews, Poles, Japanese, and Negroes as well as Anglo-Saxons with the tools of language, then Roosevelt College is radical.
>
> If it is impractical to give employed men and women during the evening hours courses of standard quality in history, chemistry, and music, Roosevelt College is impractical.
>
> I am proud to say that Roosevelt College is in these ways foolhardy, impossible, absurd, radical and impractical.[1]

Faculty participation in the governance of the new college was encouraged by its president and became an important part of its ethos. In addition to faculty membership on the governing board (the origins of which are discussed in Chapter IV) there were a number of other democratic innovations. Deans, although appointed by the Board, had to be confirmed by a two-thirds vote of the faculty. The deans and the president had to submit to a vote of confidence from the faculty every three years. Department chairmen were elected by the executive committee of each school (later college) which was itself composed of elected faculty representatives as well as the school dean, the dean of faculties, and the president. Every full-time member of the faculty and every part-time member with one or more years of service, including members of the administrative staff, had the right to vote. Furthermore, a grievance procedure was adopted, similar to procedures used in the labor movement, which gave any full-time employee of the College the right to file a grievance whenever he felt there was a serious difference of opinion with another member of the faculty or administrative staff. The grievance procedure involved arbitration and appeal at various levels up to the Board of Trustees. A parallel procedure was adopted for the student body as well.[1]

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[1] Wayne A. R. Leys, "Report to the Board," Minutes of the Roosevelt College Board of Directors, December 17, 1945.

A later innovation, as egalitarian as any of these, was the creation of a Budget Committee, responsible to the Board of Trustees for the formulation of a balanced budget, on which half of the members were faculty elected by the Senate. The president served merely as one among a number of ex officio administrative members on this Committee, which became one of the most powerful bodies in the institution.

The College opened in temporary facilities in September, 1945. The following year it purchased the historic Auditorium Building and in September, 1947, moved to its permanent location at Congress and Michigan Avenues, in downtown Chicago. The surge of serious students attending under the G.I. Bill gave the young college a feeling of confidence, stability, and mission which went a long way--although not as far as the controller would have liked--to compensate for the institution's utter lack of endowment. Funding was to remain a chronic problem. Many liberal Chicagoans, impressed with the college's ideals and its determination to integrate higher education, gave money to support the institution; but these sums tended to be relatively small. Its liberal image (radical, in the minds of many) and the history of the controversy with the Board of the Central YMCA College seemed to alienate many corporate and "establishment" sources. Roosevelt College learned, as have some other private institutions, to operate on tuition income. Fund-raising counted for no more than 10 to 15 per cent of the annual budget, the lion's share of which came from tuition. This percentage has remained relatively stable throughout the institution's history.

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[1] These innovations were described by the founding president in an article written for the John Dewey Society: Edward J. Sparling, "Evaluating Some Efforts to Achieve Democracy in Administration," in Democracy in the Administration of Higher Education, Tenth Yearbook of the John Dewey Society, ed. by Harold Benjamin (New York: Harper & Brothers, 1950), pp. 204-22.

Within three years of its founding, Roosevelt College grew to an enrollment of over 6,000 students and found itself one of the largest private undergraduate colleges in the country. Many of these students held part or full-time jobs and attended classes at night. The College attracted working students by its flexible course-scheduling which made it possible to earn a degree in most departments on a part-time evening basis.

In 1951, the College ambitiously, albeit tentatively, initiated graduate work. By the spring of 1954, it was ready to declare itself a University. In that year, too, the institution effected a merger between its School of Music and the much older Chicago Musical College. Accreditation of the Master's level programs was awarded in March, 1955, by the North Central Association and confirmed the change from college to university. By 1971, fifty undergraduate departments and programs and twenty-two Master's Degree level programs had been established.

From the start, the institution's curriculum and administrative structure reflected an urban focus and orientation, and a commitment to community needs. In 1946 a Labor Education Division was established, on a par with the other principal academic divisions, to conduct special educational programs for labor union leaders and others. Subsequently, a Division (later College) of Continuing Education was established to meet the educational needs of adult students. Recently, Roosevelt University expressed its educational role as including three elements responsive to social needs: (1) creating avenues for upward mobility and the removal of barriers of race prejudice and of economic deprivation, (2) providing opportunities for students at all levels to resume an interrupted education, and (3) enabling individuals to prepare themselves for new careers.[1]

---

[1] "The Mission of Roosevelt University," a mimeographed paper prepared by the Planning Committee of Roosevelt University, May, 1969.

The Board of Trustees of Roosevelt University

The governing board of Roosevelt University is called its Board of Trustees. This is the designation that Eells found in use at 80 per cent of the private institutions of higher education in the United States.[1] It is slightly larger than the average size for governing boards of independent private institutions which tend to be larger than the boards of public institutions. The Roosevelt University Bylaws authorize a total of forty-one voting members on the Board of Trustees.[2] Eells found that boards of private independent colleges and universities averaged twenty-three members.[3] Roosevelt Board members are elected for three-year terms of office. Martorana reported that for nonsectarian private institutions, the modal term of office is three years and the median, four years.[4]

In addition to these characteristics on which the Board of Trustees of Roosevelt University is similar to the governing boards of comparable institutions, it is also similar in terms of its organization and committee structure. It has a chairman, elected from among its members; three vice-chairmen, one each for Development, Business and Finance, and Academic Objectives and Long Range Planning; and eight standing committees which, in addition to an Executive Committee, include Academic Objectives and Long Range Planning, Auditorium Theatre, Business and Finance,

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[1] Walter C. Eells, "Boards of Control of Universities and Colleges," Educational Record, XLII, No. 4 (October, 1969), 336.

[2] "By-Laws of Roosevelt University: Including Amendments adopted to September, 1968," Article III, Section 2. During most of its history the Board has had one or more vacancies.

[3] Eells, "Boards of Control," p. 340.

[4] S[ebastian] V[incent] Martorana, College Boards of Trustees (Washington, D.C.: Center for Applied Research in Education, Inc., 1963), p. 48.

Community Relations, Development, Facilities, and Nominating. Only the Auditorium Theatre Committee is unique to the institution. The other committees are similar to those typically found on college and university governing boards.[1] Some of these committees have functioning subcommittees; some of the committees are more active than others; all (at least in theory) report to the Board through the Executive Committee. From time to time, ad hoc or special committees have been appointed which are outside this standing structure. Generally, such committees are dissolved once they have made the report or served the purpose for which they were constituted. The Board is served by a Secretary who is not a member.

The Board of Roosevelt University meets in regular session four times during the academic year: in October, December, February, and April. However, at least one and sometimes two or more special meetings are usually held during the year. The regular meetings are generally held at the University but the special meetings have sometimes been held in the more informal setting of members' homes or in conference facilities in downtown Chicago. The Executive Committee meets more frequently, generally averaging eight or nine meetings during the year. The agenda are approved by the President and the Chairman, and, together with supporting documentation, are sent out by the Secretary in advance of the meetings. Since 1945, the Board has had a set of Bylaws which have contained the rules and mandates under which it has functioned. Recently, a Board of Trustees Manual was developed in which a variety of important University documents were brought together to facilitate the functioning of the Board.

In all of these respects the Board of Trustees of Roosevelt University is similar to the boards of comparable institutions. In one respect, however, it is quite unlike other boards--its composition and method of selecting members. Of the four principal methods of selecting board members identified by Elliott and Chambers[1] (election, appointment, co-optation, and ex officio designation) three are used. The Bylaws of the University designate the president of the University as an ex officio voting member of the Board of Trustees.[2] Seven positions on the Board are held by members of the faculty elected by the Faculty Senate for staggered three-year terms. The remaining positions are filled by co-optation; i.e., lay members of the public elected by the Board itself upon the recommendation of its Nominating Committee. (One of these positions has traditionally been held by an alumnus recommended by the Board of Governors of the Alumni Association.)

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[1] See Martorana, Ibid., p. 70; and J. L. Zwingle, "Governing Boards," in Handbook of College and University Administration, Vol. I: General, ed. by Asa S. Knowles (New York: McGraw-Hill Book Company, 1970), pp. 2-34 to 2-36, for a discussion of board committees.

Not only is the Board of Roosevelt University unusual in having 18 per cent of its regular voting membership elected by the faculty from among its own ranks, but it is also unusual in the broad representation of its public members. In 1950 its president wrote with pride

> The Board of Trustees of Roosevelt College is interracial and intercreedal. Members come from the fields of finance, business management, organized labor, journalism, law, teaching, the judiciary, government, and industry.[3]

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[1] Edward C. Elliott and M[erritt] M[adison] Chambers, eds., Charters and Basic Laws of Selected American Universities and Colleges (New York: Carnegie Foundation for the Advancement of Teaching, 1934), p. 12.

[2] Studies of governing boards have reported that the president is an ex officio member of the board in somewhat under half of the American colleges and universities. See, for example, Hubert Park Beck, Men Who Control Our Universities: The Economic and Social Composition of Governing Boards of Thirty Leading Universities (Morningside Heights, New York: King's Crown Press, 1947), p. 122. The study of governing boards conducted at Indiana University found 666 college and university presidents serving ex officio out of a total of 1,670 institutions whose boards were studied (August W. Eberle, "Governing Boards: Viability of Policy Boards Depends on Democratic Representation of Publics--Not Self-Perpetuation of Members," College and University Business, XL, No. 4 [October, 1970] , 20).

[3] Sparling, "Evaluating Some Efforts to Achieve Democracy in Administration," p. 210.

The Roosevelt Board has continued to be more broadly representative than are the governing boards of most colleges or universities. In 1970 there were four women, five Blacks, two labor union leaders, and members of the Catholic, Jewish, and Protestant religions serving as trustees. Although exact figures are not available for the entire period, the evidence from the studies by Hartnett[1] and others suggests that from the time of its founding until about 1969 a large fraction--perhaps over one-half--of all the Black trustees serving on the boards of integrated senior institutions[2] in the United States were to be found on the Board of Roosevelt University.

Although the composition of the Roosevelt Board is comprehensive and representative and its members have explicitly continued the liberal and democratic philosophy that motivated its initial composition, and although it did consider the matter in its first year, the Board of Trustees of Roosevelt University has never contained student members. Cowley was misinformed when he wrote in 1951: "At Roosevelt College, Chicago, since its establishment in 1945, students have sat by legal right on the board of trustees."[3]

Beyond these provisions for the election of faculty and alumni members of the Board, no special or legal qualifications for Board membership are stipulated by the Bylaws as at some institutions.

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[1] Rodney T. Hartnett, The New College Trustee, Some Predictions for the 1970's (Princeton: Educational Testing Service, 1970), p. 27.

[2] Those institutions commonly thought to be predominantly Black are specifically excluded from this generalization. Some of these institutions were, in fact, integrated and a number had Negro trustees on their governing boards.

[3] William H. Cowley, "Academic Government," Educational Forum, XV, No. 2, Pt. 1 (January, 1951), 220. This mistake by Cowley is typical of many made about the University, particularly in its early years, when a strong liberal stance on certain issues, such as integration, was misjudged by the community to be a radical posture on everything. It is true, however, that two representatives of the student body have served as associate (i.e., nonvoting) members of the Faculty (later Faculty Senate) of the institution since its inception. These representatives were awarded voting privileges in 1968.

The functions of the Board of Trustees of Roosevelt University are specified in its Bylaws. Article III, Section 1 provides sweeping and comprehensive authority: "The affairs of the corporation shall be managed by its Board of Trustees." More specific authorization for certain other functions and responsibilities is found in various other locations. Article IV, Section 5, clause d, authorizes the Board to execute deeds, mortgages, bonds, and contracts. The next clause (e) in that section reserves to the Board the power to appoint a controller, director of development, dean, acting dean, or vice-president upon the recommendation of the president. Article V provides the Board with the power to review, modify or reverse actions of the Executive Committee to the extent such actions are not irrevocable. This Article also reserves to the full Board the power to mortgage, buy, sell, or convey real estate. Article VI, Section 1 gives the Board the power to authorize contracts. The authority to accept gifts and bequests is contained in Article VII. And Article XIV gives the Board the authority to determine whether or not it will hear faculty grievances. The authority to appoint members of the faculty, frequently a function of governing boards, is specifically conferred upon the president (Article IV, Section 5, Clause e).

Methodology of the Study

This study made use of historical methodology to conduct an intensive and systematic examination of the experience of faculty trusteeship at Roosevelt University. The role and function of the faculty trustees during two particular periods critical in the history of Roosevelt University was analyzed in order to highlight this experience. The two episodes chosen to illuminate the functioning of faculty trusteeship as a mode of government were the Board's decision to restore the Auditorium Theatre and the resignation of the University's second president. The role and function of the faculty trustees in these two critical situations was analyzed in order to reveal in greater relief the role and function of the faculty trustees in general during the history of the institution. In addition, certain other significant Board decisions were examined somewhat less extensively.

Primary source documents were relied upon to a great degree. In particular, the Minutes of the meetings of the Board of Trustees, of the Faculty Senate (known as the University Senate since the granting of voting privileges to the two student members in 1968), and of the Administrative Council were most valuable as were such documents as the Constitution of the Faculty of Roosevelt University and the University Bylaws as these have been revised and amended since 1945. Where they exist, the Minutes of the Executive Committee of the Board sometimes provided a more intimate glimpse of thoughts and events than were revealed in the records of the parent body. The Roosevelt University Archives were found to contain a most helpful, although far from complete, collection of letters and other early papers which shed light on the origins of faculty representation on the Board of that institution. The letters and papers in the files of the Office of the President of the University and in the Office of the Secretary of the Board of Trustees were a valuable tool in this research as were certain records provided by President-Emeritus Sparling. Reports by various members of the faculty and by faculty groups were of interest as was a study of the administrative structure of the University which was commissioned by, and conducted for, the University in 1964 by the management consulting firm of Cresap, McCormick and Paget. Articles about Roosevelt College containing views of the institution's democratic governing structure, some of which were written by members of the faculty and administration, were found in a number of educational journals and popular periodicals.

An important aspect of this research has been that the relatively recent history of the events being studied made it possible to interview many of the participants and observers.

Interviews were conducted with lay and faculty trustees, both past and present, with the University's three presidents, and with a number of other individuals associated with the institution since its founding. Some of these individuals were in policy and decision-making roles; others, including secretaries and administrative assistants had an opportunity to observe people and events from "behind the scenes."[1] The interviews were open-ended and were designed to elicit information about the contribution of each informant as well as to corroborate information obtained from other sources. A list of those interviewed and the dates of the interviews is included in the bibliography. Many of these interviews were tape-recorded and transcribed. In addition, day-to-day contact with many of the informants often made it possible to gather and verify evidence in less formal encounters. Both the formal and informal interviews were of considerable value in helping to test, amplify, and augment the impressions, conclusions, and historical facts obtained from the various written materials and documents. Together with the more traditional historical materials the interviews made possible a more comprehensive and complete view of these events than would either of these sources used alone.

Both kinds of data were subjected to the methods of historical scrutiny to determine their veracity and reliability. Primary and secondary source materials were subjected to internal and external examination of evidence.[2] Varying oral accounts and the memories of different observers were cross-checked against each other and, where available, against contemporary documentary evidence. Nonetheless, it was necessary to make judgments about the degree to which the personalities, positions, interests, and biases of participants and observers influenced or distorted their perception, interpretation, and recollection of events.[1] The investigator has had a unique opportunity to study these events and the issue they illuminate because of his professional role as assistant to the president and secretary of the Board of Trustees of Roosevelt University. The productive relationships he had established with members of the faculty, the administrative staff, and the Board of Trustees of that institution facilitated and, in many cases, made possible, the interviews. His experience with, and observation of, the trustees, staff, and faculty in formal meetings and other settings was of great value as was his firsthand experience of some of the events discussed.

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[1] The importance of gathering the testimony of the "common man" in historical research was discussed by Jesse Lemisch in "Listening to the 'Inarticulate'" (Journal of Social History, III, No. 1 [Fall, 1969], 1-29).

[2] A helpful explication of this methodology was found in Jacques Barzun and Henry F. Graff, The Modern Researcher (New York: Harcourt, Brace, and World, Inc., 1957), pp. 88-114 and 131-53; and in Louis Gottschalk, Understanding History: A Primer of Historical Method (New York: Alfred A. Knopf, 1950), pp. 118-71.

This study was undertaken in several overlapping stages. Initially, a thorough and systematic search was made of the literature on trustees and trusteeship. This research, which provided the data for Chapters II and III, helped to determine the origins and functions of governing boards in American higher education, the findings of previous studies of governing boards, the rationale for and against faculty participation on governing boards as discussed in the literature, and the extent to which this practice has been adopted in colleges and universities in the United States. Second, attention was focused on faculty trusteeship at Roosevelt University. The written primary and secondary source materials in the University Archives and in the various offices' files were searched through systematically and analyzed. Third, interviews were scheduled and conducted with the various respondents most of which were held in Chicago. The residence of some respondents in other parts of the country necessitated travel to those locations. Subsequently, the data were organized and evaluated and this report written.

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[1] Useful guidelines on this matter were found in Allan Nevins, Gateway to History (New York: D. C. Heath and Co., 1938), pp. 188-203; as well as in the literature on psychodynamic psychology.

PART II

BACKGROUND

Part II of this study is an analysis of background considerations relating to governing boards of American institutions of higher education and to the issue of faculty participation thereon. Chapters II and III provide a perspective from which to view the Roosevelt University experience.

CHAPTER II

GOVERNING BOARDS IN AMERICAN HIGHER EDUCATION

The Origin of Governing Boards of American Colleges and Universities

It is appropriate to introduce this study of faculty trusteeship with a brief discussion of the origin of college and university governing boards both because an examination of the history of these boards helps provide an understanding of their role and function and because faculty participated on the governing boards of the first two colonial colleges--Harvard and William and Mary--a fact referred to nostalgically by some advocates of faculty trusteeship.

It is generally agreed by students and observers of college and university governance that the boards controlling the institutions of higher education in this country are composed primarily of educational laymen and that this has been true since colonial times. In a study of "The Control of Universities in the United States," Hamilton observed that "the control of institutions of higher learning by nonresident lay boards has become the pattern in the United States."[1] The American Council on Education states that the members of college and university governing boards "are usually informed laymen, predominantly in the fields of law, finance, and industry (and in the case of private, church-related colleges, from the ministry)."[2]

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[1] Thomas A. Hamilton, "The Control of Universities in the United States," (unpublished Ph. D. dissertation, Department of Education, The University of Chicago, 1947), p. 4.

[2] Allan M. Cartter, ed., American Universities and Colleges, (9th ed; Washington, D.C.: American Council on Education, 1964), p. 32.

However, whether this pattern had its origins in the unique situations experienced by the founders of colleges in this country or whether there were European origins and anticedents for lay governance is an issue about which students of the matter have disagreed. This assertion by Hutchins is typical of many.

> It should be noted that a board of trustees is a unique American organization. Since the Middle Ages the European universities have been controlled directly by the state, without the intervention of a board of any kind, and the British universities have been controlled by the faculties.[1]

Elliott, Chambers, and Ashbrook called the lay governing board, "the unique American agency of control."[2] Others who have seen lay governing boards as an American invention include Kirkpatrick, Carlson, Capen, Coolidge, Paley, Savelle, Rauh, Martorana, Barzun, and Herron.[3] Many of these authors see a similarity between the governance of American colleges and universities by lay boards of control, composed in large part of businessmen, and the governance of American corporate business by boards of directors. It has been frequently suggested that the lay board for colleges was adopted from the corporate model. Not infrequently European universities are cited as having a contrasting tradition of faculty governance and control unbroken since the earliest days of the University of Paris.

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[1] Robert Maynard Hutchins, "Professors and Trustees," No Friendly Voice (Chicago: University of Chicago Press, 1936), p. 13.

[2] Edward C. Elliott, M[erritt] M[adison] Chambers, and William A. Ashbrook, The Government of Higher Education: Designed for the Use of University and College Trustees (New York: American Book Company, 1935), p. 1.

[3] John E. Kirkpatrick, The American College and Its Rulers (New York: New Republic, 1927), p. 306; idem, Academic Organization and Control (Yellow Springs: Antioch Press, 1931), p. xiii; Anton J. Carlson, "So This Is the University?" AAUP Bulletin, XXIV, No. 1 (January, 1938), 9-18; Samuel Paul Capen, The Management of Universities (Buffalo: Foster and Stewart Publishing Corporation, 1953), p. 7; Charles A. Coolidge, "How to be a Good Fellow," Harvard Alumni Bulletin, LVIII (February 4, 1956), 350; Columbia University, The Role of the Trustees of Columbia University, The Report of the Special Trustees Committee, William S. Paley, Chairman, Adopted by the trustees November 4, 1957 (New York: Columbia University, 1957), p. 7; Max Savelle, "Democratic Government of the State University: A Proposal," AAUP Bulletin, XLIII, No. 2 (June, 1957), pp. 323-24; Morton A. Rauh, College and University Trusteeship (Yellow Springs: Antioch Press, 1959), p. 15; S[ebastian] V[incent] Martorana, College Board of Trustees (Washington, D.C.: Center for Applied Research in Education, Inc., 1963), p. 3; Jacques Barzun, "Tomorrow's University--Back to the Middle Ages," Saturday Review (November 15, 1969), p. 25; Orley R. Herron, Jr., The Role of the Trustee (Scranton, Pennsylvania: International Textbook Company, 1969), p. 17.

European Antecedents

That "college and university boards of trustees had their origins in America,"[1] and "in no other portion of the civilized world,"[2] is challenged as a "myth" by Cowley and as a "misconception" by McGrath. Cowley asserts that the idea of a lay board of trustees was well established before the American business corporation emerged. He traces the origin of lay governing boards to the early medieval universities in Italy and suggests that this governing structure reached colonial America via Holland, Switzerland, and Scotland. He credits the Council of Florence with establishing the first lay governing board in 1348.[3]

Although students initially established and governed the university in Florence,

> Eventually for a complex of reasons student control waned, and the civil authorities took over by appointing

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[1] Harry J. Carman, "Boards of Trustees and Regents," Administrators in Higher Education: Their Function and Coordination, ed. by Gerald P. Burns (New York: Harper & Row Publishers, Inc., 1962), p. 80.

[2] John E. Kirkpatrick, Force and Freedom in Education (Yellow Springs: Antioch Press, 1929), p. 65.

[3] William H. Cowley, "Myths and Half-truths Distort View of Trustees," College and University Business, XLVII, No. 2 (August, 1969), 43; see also idem, "Some Myths About Professors, Presidents, and Trustees," Teacher's College Record, LXIV (November, 1962), 159-63.

> what we would today call boards of trustees, that is lay bodies of non-academic people. They became the governors of both professors and students. . . . The University of Leyden which opened in 1575, adopted this revised Italian plan; and the University of Edinburgh, organized seven years later, followed Leyden in employing the same pattern. . . . The efforts of Harvard and of William and Mary to follow the French system [of autonomous faculty governance], as Oxford and Cambridge had adapted it to their situations failed. . . . We have come to follow essentially the Italian plan in the form that Yale and Princeton in particular copied it from the University of Edinburgh. This scheme originally gave all the governing power to boards of trustees, professors being in very fact hired men.[1]

This mode of lay governance was accepted in colonial New England because "it meshed perfectly with the Calvinistic tenet that laymen should participate in the management of all social institutions."[2] In fact, the academy established by Calvin in Geneva had a lay governing board.

The view of lay governance as a European importation is shared by McVey and Reisner,[3] as well as by Conant, who wrote:

> I fear no court of law would sustain an American claim to this invention,[i.e., the lay board of trustees], for a question of priority would rise to plague us. It is a matter of historical fact that during our colonial period the universities of Holland were managed by boards of lay governors. Leyden, Franeker, Groningen and Utrecht, all founded before 1637, were

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[1] William H. Cowley, "The Administration of American Colleges and Universities," University Administration in Practice, ed. by Oswald Nielssen (Stanford: Stanford University, Graduate School of Business, 1959), p. 8.

[2] Cowley, "Myths and Half-Truths," p. 43. This point is also made by Hofstadter in his "The Colonial Colleges," (chapter iii in Richard Hofstadter and Walter P. Metzger, The Development of Academic Freedom in the United States [New York: Columbia University Press, 1955]).

[3] Frank L. McVey, "Administrative Relations in Colleges: Faculty, President and Trustees," AAUP Bulletin, XV, No. 3 (March, 1929), 226; Edward H. Reisner, "The Origin of Lay Boards," Columbia University Quarterly, XXIII (March, 1931), 63-64.

> established with boards of from three to six curators or trustees who had general supervision over the university, including the power of making appointments.[1]

Conant used as authority the report of a Royal Commission of Enquiry into the State of the Universities of Scotland, attributed to Sir William Hamilton. This report traced the origins of lay control to 1472. In that year,

> the Senate of Florence decreed that five Prefects should be chosen out of the citizens qualified for the magistracy, to whom should be confided the superintendence both of the Florentine and Pisan universities. . . . Under the Republic of Padua, . . . prior to 1515, two, and subsequently four Paduan citizens, of distinguished prudence, . . . [were] chosen to watch over the University, and to suggest the persons proper to be nominated to vacant chairs.[2]

Conant observed that "it would seem extremely probable . . . that in establishing this type of [lay] government the learned [New England] ministers of that time realized that they were not creating a new system but following a standard procedure."[3]

Brubacher and Rudy (citing an unpublished manuscript by Cowley and the articles by Reisner and Conant) also conclude that the lay governing board was a European importation rather than an American innovation.[4] Kerr gives a similar reading of history:

> The American system bears the marks of its origins in the Protestant sects of the early colonies. These Protestant sects emphasized the supremacy of the parishioners over the ministers; it was natural that they

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[1] James B. Conant, "Academical Patronage and Superintendence," Harvard Educational Review, VIII, No. 3 (May, 1938), 314-15.

[2] [Sir William Hamilton], "Patronage of Universities," Edinburgh Review, LIX, No. 119 (April, 1834), 205.

[3] Conant, "Academical Patronage and Superintendence," p. 317.

[4] John S. Brubacher and Willis Rudy, Higher Education in Transition: A History of American Colleges and Universities, 1636-1968 (2d ed., revised and enlarged; New York: Harper & Row Publishers, 1968), pp. 25-26 and 411.

> should also provide control by leaders of the community over the new colleges. If there was a model outside the colonies, it was probably Edinburgh which had a council largely composed of town councilmen and clergy. Similar arrangements existed at Leyden and Genoa. The earliest local councils were established in Italy when faculty members took refuge in the protection of the city fathers from the harsh rule of the students. Thus the rise of the city under the control of its burghers was also a precedent for the board of the American college. It would have seemed natural, at a time when the church and the city were being placed under citizen control, to apply the same principle to the college. The populism of the nineteenth century in America added strength to this tradition--the college served the people and the board represented the people.[1]

In order "to correct a misconception held by many members of the profession that the American governing board is sui generis" McGrath recently made a similar case for the medieval origins of lay governing boards, citing Rashdall as his authority.

> The colonial American colleges adopted the Scottish form of academic governance, whereby a group of laymen served as the ultimate governing body for the institution. This model of governance stemmed originally from the Italian universities but more directly from the Reformation universities.[2]

Although American college and university governing boards composed of people drawn from outside of academic life have been seen as having European origins, the lay governing board has come to be the general pattern in the United States. In Europe, on the other hand, despite these early examples of lay control and such social institutions as the English "board of visitors," the Scottish "board of patrons," and the Dutch "board of curators,"[3] autonomous faculty self-government has been much more extensive than in the United States and is the principal model for university control.

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[1] Clark Kerr, "Governance and Functions," Daedalus (Winter, 1970), p. 110.

[2] Earl J. McGrath, Should Students Share the Power? A Study of Their Role in University Governance (Philadelphia: Temple University Press, 1970), pp. 14-16.

[3] See [Hamilton's] "Patronage of Universities" for a discussion of the history, role, and responsibility of these boards.

Colonial Colleges

In contrast to the pattern of unchallenged lay government through a unitary non-resident non-academic board, which later came to characterize higher education in this country, the governing boards of the first two colleges, Harvard and William and Mary, in the tradition of the English universities and the University of Paris,[1] attempted to provide for faculty governance in their early days.

Authorized by the General Court of Massachusetts Bay Colony in 1636 at the request of certain clergymen, Harvard College had no teaching staff upon whom governing powers could be conferred. In 1637 a Board of Overseers was created consisting of the Governor and his deputy, four magistrates, and six ministers (the "teaching elders" of the six adjoining towns). In 1650, after the college was a going concern, the president, treasurer, and five fellows were established as a corporation with the power to govern, subject to approval by the Overseers. Although Harvard's charter of 1650 did not explicitly require that the fellows be chosen from the teaching faculty this was apparently intended and all of the original group were teachers. Moreover, "of the one hundred fellows chosen between 1650 and 1780 sixty-two were teachers in the college and only thirty-eight were not."[2]

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[1] Cowley distinguishes two principal university traditions established in medieval Europe: the tradition of the University of Bologna which influenced subsequent universities throughout Italy, Southern France, and the countries of the Reformation; and the tradition of the University of Paris which influenced Oxford and Cambridge ("Myths About Professors, Presidents, and Trustees," p. 160).

[2] George C. Bogert, "Historical Survey of Faculty Participation in University Government," paper presented at the annual dinner given by the Trustees of The University of Chicago for the faculty of the University, January 10, 1945. This interesting study by a member of the University's Law faculty

Gradually, however, fellows were appointed from among the settled ministers of the area rather than from among the resident tutors who tended to be much younger men. And after the Revolution the Fellows became "men of experience in business . . . acquainted with public affairs."[1] Coolidge suggested why businessmen came to predominate on the Harvard Corporation and identified what has come to be an important role for the governing boards of private colleges and universities:

> Originally the five Fellows were drawn from the faculty. Shortly after the Revolution, however, the legislature lost interest in providing financial support to the colleges, and leading merchants and professional men were elected to the Corporation in the hope that they would provide money to keep the college going. This they did, and ever since that time very few members of the faculty have been members of the Corporation.[2]

Kirkpatrick, McVey, and Bogert also discussed this early period at Harvard and emphasized the faculty's involvement in its governance and their efforts to maintain membership on the Corporation.[3]

At the second colonial college, William and Mary, established in Virginia in 1693, the original charter provided that the Board of Visitors and Governors was to turn over the

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was subsequently published in the AAUP Bulletin, XXXI, No. 1 (Spring, 1945), 72-82 and as chapter ix in Emergent Responsibilities in Higher Education, Proceedings of the Institute for Administrative Officers of Higher Institutions, 1945, Vol. XVII, ed. by John Dale Russell and Donald M. Mackenzie (Chicago: University of Chicago Press, 1946), pp. 107-30. The above reference is to page 108 of this second publication. Subsequent references to Bogert's paper are to this publication.

[1] A[bbott] Lawrence Lowell, "The Relation Between Faculties and Governing Boards" (1920), At War with Academic Traditions in America (Cambridge: Harvard University Press, 1934), p. 283.

[2] Charles A. Coolidge, "How to be a Good Fellow," p. 350.

[3] Kirkpatrick, American College and Its Rulers, chap. ii, pp. 17-25; McVey, "Administrative Relations in Colleges," p. 227; Bogert, "Historical Survey of Faculty Participation," p. 108.

property of the college to a corporation consisting of the President and Masters (or professors) as soon as such a corporation could be formed. This was done in 1729. Subsequently, however, disagreements arose between the masters and the visitors. During the colonial period, the faculty was able to appeal successfully to the English Privy Council and to the Bishop of London when there were serious disagreements with the Board of Visitors. Following the American Revolution, "the visitors acquired complete control."[1] After an extensive discussion of these early attempts at faculty governance, Kirkpatrick lamented: "Self-government for the college in America ceased with the winning of that right for the colonies."[2]

It should be noted that Hutchins dismissed these early models of self-government by saying:

> The universities in colonial America were not universities at all; they were professional schools designed to train ministers for the churches which founded them. Some of the trustees of these institutions were teachers in them; but they were all clergymen, who were doubtless charged with the duty of making the education given by the college conform to the wishes and needs of the denomination.[3]

Havighurst, agreeing with this point of view, said: "The American university has never been governed by its faculty, as medieval universities were."[4] Hofstadter, although arguing that the colonial colleges had a true liberal arts curriculum and were more than merely divinity schools, minimized the extent and significance of such faculty control as existed at Harvard and William and Mary in the early days.[5]

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[1] Ibid., p. 109.

[2] Kirkpatrick, American College and Its Rulers, p. 30.

[3] Hutchins, No Friendly Voice, p. 13.

[4] Robert J. Havighurst, "The Governing of the University," School and Society, LXXIX, No. 2029 (March 20, 1954), 81.

[5] Hofstadter and Metzger, Development of Academic Freedom, pp. 114-44. Hofstadter (who wrote the chapter here referred to) seems to be on strong grounds in suggesting that the legal

There is no disagreement, however, that Yale (founded in 1701) and Princeton (founded in 1746) were the first clear examples of institutions started and continuously governed by non-resident boards of non-scholars and set the American precedent for a unitary governing body from outside the faculty.[1]

The Authority of Governing Boards

Non-resident lay governing bodies, most often called boards of trustees (but also known variously as boards of directors, boards of governors, and boards of overseers[2]) came to be the general rule in American higher education.[3] These boards were invested with complete legal control of their institutions, and were repeatedly upheld in this authority by courts of law. One university chancellor called them "a simon pure example of authoritarian government."[4] Hofstadter wrote: "The essence

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authority for faculty self-government by participation in the corporations of Harvard College and the College of William and Mary was more extensive than the actual authority exercised by young tutors against the respected community elders on the boards of visitors and overseers. Nonetheless, an initial intent to provide for faculty self-government at these two institutions seems clear.

[1] See Frederick Rudolph, The American College and University: A History (New York: Vintage Books, 1965), p. 166; see also Bogert, "Historical Survey of Faculty Participation," p. 109; Kirkpatrick, American College and Its Rulers, chapter iv; and McVey, "Administrative Relations in Colleges," p. 22 for elaboration and substantiation of this point.

[2] Eells found over 35 different names used to designate the governing boards of American colleges and universities. He reported that the term "board of trustees" is used at over 80 per cent of the private and at nearly two-thirds of all institutions (Walter C. Eells, "Boards of Control of Universities and Colleges," Educational Record, XLII, No. 4 [October, 1961], 336-42).

[3] Catholic and other denominational colleges under the control of the church hierarchy constitute a partial exception to this pattern of "lay" governance. The point to be made here, however, is that they were not governed by their faculty.

[4] Capen, Management of Universities, p. 7.

of lay government is that the trustees, not the faculties, are, in law the college or university and that legally they can hire and fire faculty members and make almost all the decisions governing the institution."[1]

This comprehensive power and authority is sometimes codified in the basic charter of the academic institution, as, for example, in the charter of Columbia University:

> And be it further enacted, That said trustees, and their successors, shall forever hereafter have full power and authority to direct and prescribe the course of study, and the discipline to be observed in said college, and also to select and appoint by ballot or otherwise a president of the said college, who shall hold his office during good behavior; and such professor or professors, tutor or tutors, to assist the president in the government and education of the students belonging to the said college, and such other officer or officers, as to the said trustees shall seem meet, all of whom should hold their offices during the pleasure of the trustees . . .[2]

In other cases their authority is established by custom, tradition, and influence. Hutchins observed: "They have greater powers than the directors of an ordinary corporation; they are self-perpetuating, and there are no stock holders."[3] More recently Rauh remarked, "American boards . . . are invested with complete power of management . . . they operate without the checks and balances typical of our democratic society."[4] And Herron pointedly asserted that "the trustees sit on top of the pyramid of power."[5]

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[1] Hofstadter and Metzger, Development of Academic Freedom, p. 120.

[2] Quoted in Edward C. Elliott and M[erritt] M[adison] Chambers, eds., Charters and Basic Laws of Selected American Universities and Colleges (New York: Carnegie Foundation for the Advancement of Teaching, 1934), pp. 151-52.

[3] Hutchins, No Friendly Voice, p. 12.

[4] Morton A. Rauh, College and University Trusteeship (Yellow Springs: Antioch Press, 1959), p. 15.

[5] Herron, Role of the Trustee, p. 18.

However, a number of recent observers have agreed with Conant's demurrer: "The contrast between the legal and the real powers of the boards of curators, the trustees, in recent years at least, has been very great."[1] For example, Abram, writing in 1970 said:

> The power of university trustees is a vastly overworked subject. Trustees have all the trappings of power, yet they have even less power than the administration and little capacity to rationalize and control. In the statutes of the university, the power of the trustees appears absolute; in fact, it closely resembles that of the monarchs of England, without whose signature no bill can become law, but whose signature has not been withheld since 1703.[2]

Despite this disparagement he went on to say: "The function of trustees is, nevertheless, indispensable."[3] Writing in the same journal, Trow suggested that the reasons for this diminution in the power of governing boards in recent decades have to do with a great increase in the amount of direct financial support from outside funding agencies over which the trustees have no control and the assertion by faculty and administration of powers as rights rather than as delegated authority. These constraints on the power of governing boards, he feels, have led to insecurity on the part of many trustees who, out of "fear and anger," are increasingly inclined to intervene in the academic affairs of the university.[4]

That the board, although diminished in power by external events and by the delegation of authority to the faculty, can, in a showdown, reassert its control is also implied by Havighurst when he said:

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[1] Conant, "Academical Patronage and Superintendance," p. 329.

[2] Morris B. Abram, "Reflections on the University in the New Revolution," Daedalus (Winter, 1970), p. 133. See also Carman, "Boards of Trustees and Regents," p. 80. A recent news observer suggested this divergence between legal and actual power is also true of the boards of business corporations (John Cuniff, "What is the Director's Role: Rubber Stamp or Tough Critic?" Chicago Daily News, July 24, 1970, p. 41).

[3] Abram, "Reflections on the University," p. 133.

[4] Martin Trow, "Reflections on the Transition from Mass to Universal Higher Education," Daedalus (Winter, 1970), pp. 1-42.

> While the teachers have certain powers of self-government, often very great in scope, the powers are not legally theirs.
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> In moments of mutual good fellowship between faculty and trustees the fiction is often repeated that the teachers have full power over what they teach and what research they do while the trustees pay the bills.[1]

The Functions of Governing Boards

What then is the function and the role of the lay board of trustees in American higher education? It has been generally agreed that a principal function of the board is to represent the public interest, particularly with regard to expenditures. Over a hundred years ago the then president of Brown University wrote:

> The public has a right to visitorial power, in order to ascertain whether the income arising from it [i.e., the public's investment in higher education] be appropriated according to its original design. Boards of Trustees or Corporations are the agents to whom this power is committed and they are bound to exercise it according to the design for which they were appointed.
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> . . . .
>
> The Board . . . is really in place of the public.[2]

More than a century later, Steinzor, tracing boards of trustees to the English form of charitable trust in which "trustworthy" individuals were chosen as guardians and managers of funds and properties, said:

> Boards of Trustees of colleges and universities, private and public, are usually still viewed as representatives of the public interest. Their functions are "exercised in behalf of their moral employer--society as a whole."[3]

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[1] Havighurst, "Governing of the University," p. 82.

[2] Francis Wayland, Thoughts on the Present Collegiate System in the United States (Boston: Gould, Kendall and Lincoln, 1842), pp. 44 and 60.

[3] Benjamin Steinzor and Arthur J. Dibden, "Academic Round Table: The Professor as Trustee," Journal of Higher Education, XXXIV, No. 6 (June, 1963), 345.

In theory then, trustees sit on the board of a college or university as citizens representing the public's interest in the management of the public funds invested in the institution, and to see that it properly fulfills the educational mission for which it was chartered by the state (i.e., the public). For this reason, it is important to have as trustees "men conversant with the currents of the outer world."[1] In earlier times it seemed desirable to have men who were "in the active business of life," administer the institution's "arrangements for instruction" as well as its "exterior concerns."[2] More recently the arrangements for instruction have been left to the faculty and administration, and the ability to raise funds has become increasingly important. One knowledgeable observer reported that

> Men are chosen [for trusteeship] who have wealth or who are in a position to influence wealth. The deepest and most difficult problem of education is to secure ample funds to carry out the program which is designed. Because money raising from either the legislature or the public is of such great concern, trustees are likely to be chosen who have the prestige to influence appropriations or gifts.[3]

Clearly two of the historic and continuing roles of a college or university board of trustees are to represent the public interest and to attend to the financial needs of the institution, but boards have other responsibilities as well.

There is a considerable body of current literature, written primarily by trustees and college presidents, regarding the duties and responsibilities of college and university governing boards. One college president wrote that the first and only item on the agenda of each board meeting should be a consideration of the presidency, and that after confirming the president's appointment (or appointing a successor) the board should adjourn.

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[1] Lowell, "Relation Between Faculties and Governing Boards," p. 285.

[2] Samuel Eliot, A Sketch of the History of Harvard and of its Present State, 1848, quoted in Rudolph, American College and University, p. 167.

[3] Harry L. Wells, Higher Education is Serious Business: A

However, few boards (and few presidents either) are content with so limited a role.

The president of Yale University (who, in a relatively unique governing arragement, is also the presiding officer of the board of that institution) suggested five principal functions for boards of control: (1) to select a president; (2) to make sure that the institution is respectable, reliable, and responsible; (3) to monitor administrative and faculty actions; (4) to see that it operates within its means; and (5) to make sure that undertakings are consistent with the institution's purpose or mission as that has evolved historically.[1]

The closest to what might be considered an "official" formulation of the duties and responsibilities of the governing boards of American colleges and universities is that contained in the "Statement on Government of Colleges and Universities" issued jointly by the American Association of University Professors, the American Council on Education, and the Association of Governing Boards.[2] This statement speaks about such board responsibilities as helping "relate the institution to its chief community;" "relating the likely needs of the future to predictable resources;" "husbanding the endowment;" "obtaining needed capital and operating funds;" and supporting the institution against ignorance or ill will.

Perhaps the most comprehensive formulation, however, is that developed by Houle in reference to the functions of governing boards in general.[3] He delineated sixteen separate functions and roles performed by governing boards. Following Houle's formu-

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Study of University Business Management in Relation to Higher Education (New York: Harper & Brothers, 1953), p. 13.

[1] Kingman Brewster, Jr., Yale University: 1967-68--The Report of the President ([New Haven:] Yale University Press, 1968), pp. 12-13.

[2] American Association of University Professors, "Statement on Government of Colleges and Universities," AAUP Bulletin, LII (December, 1966), 375-79.

[3] Cyril O. Houle, The Effective Board (New York: Association Press, 1960), pp. 93-97.

lation a college or university governing board should

- focus the overall objectives of the institution;
- select the president or chancellor;
- work with the president or chancellor, and through him, the staff;
- arbitrate conflicts between the executive and the staff;
- establish broad policies;
- use the special knowledge and contacts of the individual members;
- secure adequate financial support for the institution;
- develop and abide by rules governing its own affairs;
- give the institution its full collective support, prestige, and leadership and that of its members individually;
- keep its membership able, active, and representative.

Furthermore, by conducting periodic assessments and appraisals, a board should assure itself that

- the academic program reflects changing conditions;
- the work of the institution is effectively organized, assigned, and coordinated;
- the president is discharging his responsibilities effectively;
- the institution is effectively integrated with its environment;
- the basic legal and moral responsibilities are fulfilled; and
- the institution's objectives and achievements are consonant with one another.

In another formulation of the multiple functions of a governing board, Houle has suggested that, in addition to raising money for the institution's support, a board legislates, it acts as a judiciary (in that it sits in judgment over its own executive), it is an executive (in that it hires the chief administrator and senior staff, and in that it makes certain decisions regarding investments, property, etc.), it educates (noticeably its own new members), and it facilitates (when its members give legal aid, help get laws passed, or provide public relations).[1] He suggested that boards and board members who are not cognizant of these several roles and responsibilities are likely to encounter difficulty in exercising their authority.

The way in which any individual trustee perceives his functions and responsibilities is undoubtedly influenced by a variety of considerations. They include: the statements or traditions regarding the functions of the particular board; the interests, personality, and predilections of the individual board member; his motivation for serving on the board; and the method by which he was selected to serve.[2]

Studies of Governing Boards

Before narrowing attention to the board of a single institution, Roosevelt University, and focusing on a single issue, faculty representation, it is appropriate to consider briefly some of the major previous studies of the governing boards of American colleges and universities. These studies are discussed chronologically and with particular reference to evidence they contain with regard to the issue of faculty representation on the board. It should be noted that a careful and systematic search of the literature has revealed no previous study specifically concerned with the issue of faculty trusteeship, although there has been a considerable polemical literature on this subject, which is discussed in Chapter III.

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[1] Cyril O. Houle, Seminar on the Evolving Board, conducted at the Downtown Center of The University of Chicago, April 3, 1970.

[2] As was pointed out in Chapter I there are four principal methods of choosing trustees, on which there are variations from institution to institution. These methods are co-optation (i.e., recruitment and election by the board of its own new members); election (e.g., by the people of the state, or by the alumni); appointment (e.g., by the governor or the legislature, or by a religious order); and ex officio (e.g., the governor, the president of the institution, or the state superintendent of public instruction: by virtue of office). It is appropriate, however, to recognize that at least one observer felt that regardless of the technical and legal prescriptions indicating how trustees are to be selected, boards are, de facto, largely self-perpetuating because of the influence of persons already on them (Henry Nelson Snyder, "College Trustees and College Finances," Association of American Colleges Bulletin, XXIV, No. 4 [December], 1938, 459-63).

One of the earliest studies of governing boards or board members was that conducted by Nearing in 1917.[1] He studied the occupation and sex of the trustees of 143 of the 189 institutions which in 1915 had enrollments of 500 or more. Of 2,470 individual board members studied he found that "an almost overwhelming proportion" (930) were businessmen; "professionals" (including 514 lawyers, 353 ministers, and 125 educators) accounted for 1,269. (Less than 3 per cent of the trustees were women.) Nearing did not indicate whether any of the 125 trustees he identified as educators were members of the faculty of the institution on whose board they served. It is probable that many, if not most, of this number were college presidents who were trustees ex officio. Some state superintendents of public instruction, serving ex officio on the boards of state institutions, may also have been classified as educators.

Another early study was that conducted by Counts in 1927, when he analyzed the social composition of public boards of education. Although he was primarily concerned with the boards of elementary and secondary schools, he did include forty-four college and university boards (with 351 members) in his study. Among other issues, he was concerned with how members were selected to serve on governing boards and he enumerated thirteen separate methods by which this process occurred.[1] "Election by the faculty" was not one of the thirteen ways by which these individuals were selected. Counts discovered that "lawyers occupy an overwhelmingly dominant position" on college and university governing boards:

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[1] Scott Nearing, "Who's Who Among College Trustees," School and Society, VI, No. 141 (September 8, 1917), 297-99. Nearing may have been motivated to conduct this study in which he concluded that college and university governing boards were "dominated by the business world" because in 1915 he was dismissed by the trustees of the University of Pennsylvania from the faculty of that institution in an academic freedom *cause célèbre*.

> One hundred and one of the 351 members of these boards are lawyers. Merchants hold second place, bankers third, farmers fourth, manufacturers fifth, physicians sixth, and educators seventh.[2]

He listed women last in a series of eight "classes of persons" who "seldom furnish valuable board members."

In 1930 Ashbrook studied the organization and activities of college and university governing boards.[3] Out of 158 institutions studied, he found faculty serving on the boards of six. This was probably the first study specifically to identify faculty trustees.

Palmer, in 1931, studied the extent to which college presidents held voting memberships on the boards of trustees of their institutions. He reported having studied "more than one hundred small colleges" and finding that "two-thirds of the presidents are ex officio members of their college boards of trustees." In all but nine instances these presidents enjoyed full voting privileges. He also found that "in eleven instances the president of the college is president or chairman of the board of trustees and at two colleges, vice-chairman."[4] Examining the extent of faculty representation on the boards of the small colleges he studied, he reported:

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[1] George S. Counts, The Social Composition of Boards of Education: A Study in the Social Control of Public Education (Chicago: University of Chicago Press, 1927), p. 19.

[2] Ibid., p. 56.

[3] William A. Ashbrook, "The Organization and Activities of Boards Which Control Institutions of Higher Learning" (unpublished Ph.D. dissertation, Ohio State University, 1930), cited by Elliott, Chambers, and Ashbrook, The Government of Higher Education, pp. 57 and 167.

[4] Archie M. Palmer, "The College President and His Board of Trustees," Bulletin of the Association of American Colleges, XVII, No. 4 (December, 1931), pp. 507-08.

> Although there has in recent years been considerable agitation for faculty representation on college boards of trustees, the only instances of such representation in the small colleges included in this study were found to be in the Catholic colleges where teaching members of the supporting religious community are specifically designated as trustees. In nine of the colleges members of the faculty have been elected to board membership, in two women's colleges as alumnae trustees. One of these elected faculty-trustees is president of the board. Two members of the faculty of one college are elected each year to attend the meetings of the board without vote. In another instance the dean of the college and the dean of the music department, as well as the president of the college, are ex officio members of the executive committee of the board.[1]

In an investigation of the size of governing boards, Ashbrook reported in 1932 that in 114 institutions surveyed "the median number of members on the boards of Protestant and private non-denominational colleges are 24 and 23 respectively."[2] He concluded that college and university governing boards are tending to grow larger even though various experts in higher education tend to prefer and recommend smaller boards.

The size and title of governing boards was a concern of Anthony who surveyed the material relating to boards in the catalogs of 640 colleges. He found these boards to vary in size from 4 to 257, averaging 24 members.[3] The title "board of trustees" was used at 490 (or 77 per cent) of the institutions he studied, but he also reported finding 35 other names in use, the most popular of which were "board of regents," "board of visitors," "board of directors," and "members of the corporation."

McGrath, writing as a graduate fellow in the Department of Education of the University of Chicago, was also interested in the occupation of the men who served on the governing boards of American colleges and universities. Selecting 15 private and 5 public institutions of varying sizes and locations, he studied the "individuals who have since 1860 constituted . . . [their] boards of control." He found that whereas in 1860 approximately two-fifths of the trustees of the institutions he studied were clergymen, this proportion declined steadily over the years and in 1930 was only 7 per cent. On the other hand, the percentage of bankers on the boards of the private institutions rose from 5 in 1860 to about 20 by 1930. Similarly the proportion of businessmen increased from slightly more than one-fifth in 1860 to slightly less than one-third in 1930. The percentage of individuals classified as educators increased at the private institutions, but decreased at the state institutions during this period, but in both cases remained small (from 5 to 10 per cent, and from 9 to 4 per cent respectively). McGrath concluded, "The one arresting fact revealed is that in so far as the institutions selected represent other similar institutions, the control of higher education in America, both public and private, has been placed in the hands of a small group of the population, namely financiers and business men."[1] This conclusion, similar to that reached by Counts and by Nearing ten and twenty years before, was substantiated by later research.

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[1] _Ibid_., p. 509.

[2] William A. Ashbrook, "Boards of Trustees: Status and Trends in the Numbers of Members on Boards of Control of Institutions of Higher Education," _Journal of Higher Education_, III (January, 1932), p. 8.

[3] Alfred Williams Anthony, "Concerning College Trustees," _Bulletin of the Association of American Colleges_, XIX, No. 4 (December, 1933), 425.

Although McGrath provided no specific evidence on the extent of faculty participation on governing boards, he did discuss the issue, pointing out that

> it is contended . . . that educators should be more adequately represented in boards of trustees of higher institutions. Some believe that full control should be placed in the hands of educators, others, that the proportion of educators should be increased.[2]

He recognized that many other authorities believed lay governance of academic institutions was essential because such institutions were corporate enterprises requiring for their direction "men of affairs" who have directed similar enterprises in the business world. These authorities reasoned that since businessmen are in intimate contact with society, they can help an institution be responsive to the educational needs of society and they can bring in funds to meet these needs. Without taking a position on either side of the question of faculty participation on governing boards, McGrath wondered whether lay boards, without faculty representation, were sufficiently staunch on issues of academic freedom.

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[1] Earl J. McGrath, "The Control of Higher Education in America," Educational Record, XVIII, No. 2 (April, 1936), pp. 260 and 266.

[2] Ibid., p. 267.

Although they were not specifically intended as studies of governing boards or board members, a number of surveys conducted by Committee T of the American Association of University Professors provide data relevant to this study.[1] Between 1917 and 1919 AAUP chapters on the various college campuses were asked to respond to a questionnaire which probed a variety of matters relating to arrangements for academic governance and the degree to which faculty were involved in academic decision making. To the question, "Has the faculty any formally recognized means of conference with the trustees other than through the president?" most of the institutions reported in the negative.[2] The few institutions responding affirmatively indicated a variety of plans for faculties to confer with trustees. Of interest from the point of view of the present study was the response from the chapters at Bryn Mawr College and Washington and Lee University that any professor might attend the sessions of the board of trustees, and the response from Cornell University that the faculty elected three representatives to the board. (The fact that the three faculty representatives on the Cornell board did not have the power to vote and were therefore not full members did not seem important to mention.)

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[1] Committee T "On the Place and Function of Faculties in College and University Government" was first organized in 1917, two years after the beginning of the AAUP. Its initial membership included such luminaries as James McKeen Cattell from Columbia University and James R. Angell from the University of Chicago. This Committee conducted its first survey during 1917-19. Subsequent surveys were conducted in 1935, 1939, and 1940.

[2] Committee T, American Association of University Professors, "Report of Committee T on Place and Function of Faculties in University Government and Administration," AAUP Bulletin, VI, No. 3 (March, 1920), 45.

When this survey was repeated, in 1939, 132 out of 177 institutions revealed that they had no formal means for faculty and trustees to confer.[1] As was the case in the earlier surveys, there was no specific question directed to the frequency of faculty members serving on governing boards. Perhaps the practice was too uncommon for it to have occurred to the committee to gather data on it. In a 1940 survey of 228 institutions, 176 responded "no" when the faculty were asked whether there was a definite plan for exchange of opinion with trustees.[2] Of the 52 institutions responding affirmatively, only three (not identified) reported faculty representation on the board (one voting, two non-voting).

One of the most systematic and meticulous studies of the membership of governing boards was that by Beck in 1947. He studied the economic and social background (including age, sex, occupation, income, place of birth, residence, and corporate affiliations) of the 734 trustees who in 1934-35 constituted the governing boards of the thirty member institutions of the Association of American Universities (AAU). As did Nearing, Counts, and McGrath before him, Beck reported that "very high proportions of manufacturers, bankers, and other leaders of large-scale business and finance [were] found to compose these important boards."[3] On the matter of the representation on these boards of faculty and other educators he observed:

> The small proportion of professional educators on the

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[1] Ibid., XXVI, No. 2 (April, 1940), 172.

[2] Ibid., XXVII, No. 2 (April, 1941), 156.

[3] Hubert P. Beck, Men Who Control Our Universities: The Economic and Social Composition of Governing Boards of Thirty Leading American Universities (New York: King's Crown Press, 1947), p. 129.

> boards of these 30 leading universities would appear to accord with the commonly held theory that all educational experts should be excluded from membership on boards controlling educational policy. Of the 734 board members, only 34, or 4.6 per cent, were classified as educators. . . . Fifteen of the 34 . . . were university presidents, 12 of whom owed their membership to an ex officio relationship to their board. Although 11 other educators in the group were classified as "university professors" none of these had been named to the board by their colleagues. . . . Moreover, these 11 "professors" were not academic professors in the usual sense. Five were holding or had held important administrative posts in the university of which they were then a trustee, and 5 others were holding or had held similar posts elsewhere in higher education.[1]

He reported that "at Black Mountain, the governing board is elected by the faculty from its own membership," and that the Institute for Advanced Study at Princeton furnished another "illustration of the election of faculty representatives to the governing.board."[2] However, neither of these institutions was a member of the AAU and so were not included in his study. Elaborating on this point, he said:

> No trustee studied had been elected by a university faculty group. The Cornell faculty do elect three of their members to sit with the university governing board, but since these persons were without vote, they were excluded from the present study in conformance with the standard procedure adopted. The absence of faculty representation on all these important university boards is of particular significance since election by the faculty is reported to be the common practice abroad and at one time was also the accepted method of constituting boards in this country.[3]

In concluding his study, he offered recommendations for the composition of governing boards to include faculty representatives. These recommendations are discussed in Chapter III in connection with other advocates of faculty representation.

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[1] Ibid., p. 56.

[2] Ibid., pp. 203 and 221.

[3] Ibid., p. 124.

Writing at about the same time, Hamilton conducted a study which paralleled Beck's in many respects. He too studied the members of the governing boards of the institutions holding membership in the AAU. However, he was concerned with the composition of these boards in 1945-46, a decade after the period studied by Beck. As did Beck, Hamilton found that over 60 per cent of the trustees studied were businessmen or lawyers and only about 3 per cent could be classified as educators.[1]

Attacking Beck's recommendation concerning the desirability of more egalitarian governing boards, including faculty representation, the president of the Association of Governing Boards of State Universities and Allied Institutions, C. E. McAllister, reported on a personal survey he conducted of eighty-nine state universities. He reported that not one of the eighty-nine institutions he visted had faculty representation on its board. He was not only opposed to having faculty members serve on governing boards, but, as the result of his study concluded that "the less personal contact there is between board members and faculty members, non-faculty personnel, students, and alumni, the better."[2]

In 1961, Eells analyzed the statements on governing boards for each of the over 1,000 institutions listed in the 1960 edition of American Universities and Colleges, tabulating them as to designation, method of selection, number of members, and terms of office. As with the similar tabulations by Counts and (later) by Hartnett of the many different methods boards have of selecting their members, Eells did not provide a category for "election by the faculty." He did, however, mention that in the institution with the largest number of members on its board, the University of the South, in Sewanee, Tennessee, 4 (of the 115 members) were "selected by the faculty." Although he did not express an opinion about the concept of faculty representation on governing boards, he did about the related issue of ex officio membership for presidents--which he found at more than 100 institutions. He considered board membership for college and university presidents to be "an anomaly, since theoretically the function of the board of control is to determine institutional policies, while the president is the executive officer who carries them out."[1]

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[1] Hamilton, "The Control of Universities in the United States," pp. 104 and 38.

[2] Charles E. McAllister, Inside the Campus: Mr. Citizen Looks at His Universities (New York: Fleming H. Revell Co., 1948), pp. 12 and 214.

In 1963, Martorana published a monograph on college boards of trustees based on his experience, on earlier research on boards (most of which has been cited here), and on a study of 519 boards responsible for publicly controlled institutions in 1958-59 which he conducted with Hollis.[2] He called the lay board of control an "American idea." On the issue of faculty representation on governing boards, he wrote: "historically, it has been considered poor administrative practice to include employed staff members on boards which set general policy." Although he observed a "growing questioning of this principle . . . in more recent writings," he referred to the advocacy of faculty representation on governing boards as an "extreme position"[3] with which he was not in accord.

Duff and Berdahl, in their 1965 study of university government in Canada, devoted considerable attention to the question of faculty membership on governing boards. They found faculty members serving on the boards of only two or three Canadian institutions; in most cases faculty were explicitly excluded from eligibility for board membership. One of the authors' principal recommendations was that the governing boards of the universities in that country be reorganized and their excessive homogeneity reduced by permitting the inclusion of faculty members.[1] They suggested that not fewer than three (nor more than 25 per cent) of a board's members be elected by the academic senate. This report was given considerable attention in the United States. Berdahl presented the conclusions of his study at one of the annual meetings of the American Association for Higher Education and the Report was discussed extensively at the 1968 AAHE Summer Conference, at which it was noted that in the three years subsequent to its issuance some twenty or more Canadian institutions had adopted the practice of faculty trusteeship.[2]

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[1] Walter C. Eells, "Boards of Control of Universities and Colleges," Educational Record, XLII, No. 4 (October, 1969), 339.

[2] S[ebastian] V[incent] Martorana and Ernest V. Hollis, State Boards Responsible for Higher Education, U.S. Office of Education Circular OE-53005 (Washington, D.C.: USGPO, 1960).

[3] Martorana, College Boards of Trustees, pp. 56 and 81.

A major study of policy boards and policy making in higher education in the United States was conducted by the Department of Higher Education of the School of Education of Indiana University, under the direction of August W. Eberle. Whereas the complete results of this study have not as yet been published in a comprehensive report, it is believed that such a work is in progress,[3] and a number of doctoral dissertations have grown out of it.[4] Eberle received responses from forty-five institutions with faculty-selected board members. Of these institutions, twenty were Catholic and only eight were independent private. A somewhat greater number, 140 (of which 103 were Catholic institutions), reported that there were faculty of their institutions then serving on their boards.[1] Of the 6,438 trustees at the private institutions surveyed, 304 were faculty members or administrators from other institutions. Faculty members served on standing or advisory committees of the boards of 120 of the 302 private, independent colleges and universities surveyed; students served in a similar capacity at thirty-nine. At two of the private institutions students served on the board itself.[2]

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[1] Sir James Duff and Robert O. Berdahl, University Government in Canada, Report of a Commission Sponsored by the Canadian Association of Universities and Colleges in Canada (Toronto: University of Toronto Press, 1966), pp. 21-24.

[2] Edward J. Monahan, "The Duff-Berdhal Report on University Government in Canada: A Review of the Report and its Implementation," address delivered at the 1968 Summer Conference of the Association for Higher Education (Washington, D.C.: American Association for Higher Education, 1968), pp. 1-8. (Mimeographed.)

[3] James J. Murphy, et al., "Policy Boards and Policy-Making in the U.S. Higher Education" (in process).

[4] These include: Raymond Rice Hornback, "Policy Boards of Public, State-Supported Institutions of Higher Education," 1968; Mary Argentiana Moroni, "Policy Boards of Roman Catholic Institutions of Higher Education in the United States," 1968; Ernest William Male, "Policy Boards of Institutions of Higher Education Affiliated with Protestant Churches and Other Non-Catholic Religious Bodies," 1968; James John Murphy, "Policy Boards of Local Public Institutions of Higher Education," 1968; and Lawrence J. Miltenberger, "Policy Boards of Private Institutions," 1969.

This evidence suggests that although complete separation of the board and the faculty is still the prevailing rule, faculty participation on board committees is the most common method of involvement; next to this is representation on the board from the academic community by means of a distinguished faculty member or administrator from another institution; thirdly, in the relatively few instances where faculty participate on the board of their own institution, election by the board is more common than by the faculty. The practice of a faculty electing its own voting representatives to a governing board is the least common mode of faculty-board liaison and is still something of an academic rarity.

In a 1969 follow-up to the Indiana study of governing boards, Muston requested institutions to indicate the ways, if any, in which there had been an increase in student and faculty participation in governance during the two years since the original data was gathered. Full voting membership on the board for faculty was not listed as one of the fifteen varieties of response given to this question. Non-voting membership was listed ninth in frequency. Muston observed that many of the changes in institutional organization which brought about greater faculty participation in governance were made subsequent to some militant activity or demand by students.

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[1] August W. Eberle, Chairman, Department of Higher Education, School of Education, Indiana University, Bloomington, Indiana, Mimeographed letter to college and university presidents, January 27, 1969.

[2] Intercollegiate Press Bulletins, XXXIV, No. 8 (October 6, 1969), 46.

> In almost every case where students had been added [to a board committee], faculty had also been given representation. One president made special mention of faculty demands for representation if students were allowed such status.
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> . . . .
>
> In reaction to sudden pressures and demands from students, faculty often reflect concern for protecting their own specific interests.[1]

Students had done better than faculty in obtaining board representation:

> Thirty-five [institutions] added student representatives to their governing boards [in the interim between the initial study and the follow up]. In one case, board membership was extended to one undergraduate, one graduate student, and one faculty member.[2]

In a recent study of the background, roles, and educational attitudes of 5,180 college and university trustees representing 536 institutions, which was conducted for Educational Testing Service (ETS) by Hartnett and Rauh, trustees were generally found to "occupy prestige occupations, frequently in medicine, law, and education, but more often as business executives (over 35 per cent of the total sample were executives of manufacturing, merchandising or investment firms and nearly 50 per cent of the trustees of private universities held such positions)."[3] This finding was hardly novel and confirmed the earlier studies by Beck, Hamilton, McGrath, Counts, and Nearing, as well as popular impressions that businessmen tend to predominate on college and university governing boards.

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[1] Ray A. Muston, "Governance Changes are Catching Colleges by Surprise, National Survey Shows," College and University Business, XLVII, No. 1 (July, 1969), 30-31.

[2] Ray A. Muston, "Concept of Student Participation in Governance Becomes Formalized and More Public as it Gains Momentum, ibid., XLVIII, No. 3 (March, 1970), 12.

[3] Rodney T. Hartnett, College and University Trustees: Their Backgrounds, Roles, and Educational Attitudes (Princeton: Educational Testing Service, 1969), p. 19.

Only 4 per cent of Hartnett's sample responded that their primary occupation was "faculty member in an institution of higher education." One-fourth of this amount was accounted for by Catholic institutions. The ETS study did not distinguish between a faculty trustee serving on the governing board of his own institution and one serving on the board of another institution. In fact, a question which asked trustees: "How did you come to be a member of the governing board?" made no explicit provision among the alternative responses for a trustee to indicate that he was elected by the faculty.

However, the survey did ask trustees whether they thought there should be faculty representation on the governing board. Nearly half (47 per cent) agreed or agreed strongly with that position. The question of faculty representation on the governing board was distinguished from the issue of whether there should be more "professional educators" on the board of trustees, about which only 26 per cent of the trustees responding agreed or agreed strongly.[1] Evidently many lay trustees believe that there should be faculty representation on the governing board of their institution, and this belief does not seem to be primarily related to the particular expertise such faculty would bring as professional educators.[2]

In a follow-up to this study, Hartnett re-surveyed a sample of 402 colleges and universities to determine what changes had taken place in the membership of governing boards during the subsequent 18 month period. He reported a substantial increase in the number of trustees from "groups not previously well represented on governing boards . . . Negroes, women, or persons under the age of 40 and those with educational occupations."[1] However, only 3 per cent of his national sample had added students or faculty to their governing boards during this period. These results, compared with those of his initial study, indicate that despite the reported feeling of many trustees that there should be faculty representation, boards were more likely to choose as representatives educators whose professional affiliation was with another institution.

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[1] Ibid., pp. 59-78, passim.

[2] See also Rauh's parallel reports of this study: Morton A. Rauh, "College Trustee: Past, Present, and Future," Journal of Higher Education, XL, No. 6 (June, 1969), 430-42; and Rauh, The Trusteeship of Colleges and Universities (New York: McGraw-Hill Book Company, 1969).

Although Hartnett found that Negores were being added to boards at an increasing rate, "fewer than 2 per cent of all trustees of higher education are Negroes, according to a recent study of governing boards" reported by Newsome and Herron.[2] Most of these are on the boards of predominantly black institutions; but even among the predominantly black institutions, "except for those colleges supported by black church groups, the trustees of the Negro colleges are overwhelmingly white."[3]

The trustees of the Negro colleges surveyed by Nabrit and Scott were asked whether or not they would support "representation on the board from the faculty." They were asked a similar question about student representation. Nabrit and Scott concluded that the majority of the trustees of the predominantly Negro institutions "do not support membership of faculty and students on the boards of trustees," although there was slightly more support for faculty than for student representation (42 and 33 per cent of the trustees expressed "full support" for these propositions respectively), and there was some variation between the trustees of institutions supported by different denominations.[1] The authors reported that

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[1] Rodney T. Hartnett, The New College Trustee: Some Predictions for the 1970's (Princeton: Educational Testing Service, 1970), p. 79.

[2] Emanuel Newsome and Orley R. Herron, Jr., "Michigan Universities Lead Trend in Negro Appointments to Governing Boards," College and University Business, XLVII, No. 1 (July, 1969), 35.

[3] Samuel M. Nabrit and Julius S. Scott, Jr., Inventory of Academic Leadership: An Analysis of the Boards of Trustees of Fifty Predominantly Negro Institutions (Atlanta: Southern Fellowships Fund, [1970]), p. 12.

> At the time the study was conducted [1967-68 academic year], no board had student or faculty representation, although on a dozen campuses students had actively demanded the right to sit with the trustees and to have some mechanism through which their voices could be heard in curriculum and policy decisions.[2]

Nabrit and Scott observed, as did Muston, that students were having more success than faculty in obtaining board membership.

> There is more discussion within the boards about student participation in governance than about faculty, administration, and alumni involvement.
>
> . . . .
>
> Recently, and partly as a result of our dialogue with administrators and board personnel, three institutions have added students to the composition of their boards, and several have broadened the composition of their boards.[3]

As one of their conclusions and recommendations, these authors asserted that "on the whole, trustees are extremely cautious about the inclusion of students and faculty on governing boards . . . [but] the _demands_ for participation in governance from faculty and students will be assuaged only by more participation."[4]

Although slightly less than half of the trustees surveyed (47 per cent in Hartnett's study and 42 per cent in Nabrit and Scott's) expressed support for the idea of board representation for faculty, 86 per cent of college and university faculty agreed "strongly" (59 per cent) or "with reservations" (27 per cent) that there should be faculty representation on the board of their institution. These data were revealed by a survey of the opinions of over 60,000 faculty members of all ranks and from all types of institutions on a wide variety of issues which was conducted in 1970 by the Carnegie Commission on Higher Education.[1]

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[1] Among the trustees of the Episcopal colleges (St. Augustine's, St. Paul's, and Voorhees) more than half (56 per cent) expressed "full support" for faculty representation, whereas at the regionally supported colleges and at those which are the single institution supported by a denomination, "the vast majority of respondents" did not support board representation for students or faculty (_ibid._, pp. 14, 44 and 41).

[2] _Ibid._, p. 13.

[3] _Ibid._, pp. 21 and 13.

[4] _Ibid._, pp. 28-29.

In a recent study of student participation in college and university policy making, significant because it reveals the extent to which membership on governing boards is being opened to previously unrepresented groups, McGrath reported that in 1969 less than 3 per cent of the 875 institutions providing usable responses to his survey had students serving as voting members of their governing boards. At 175 institutions (20 per cent of his sample) students were admitted to board meetings, and at an additional forty-two institutions (5 per cent of the sample) students sat with one or more of the board committees as observers or as voting or non-voting participants.[2] McGrath observed "these facts about boards of trustees show that students have not generally been admitted to a board's regular sessions, but in the few institutions where this is the practice, they typically also sit with one or another of the board committees."[3] Not surprisingly, the board committees most likely to have student participants were those dealing with student affairs and student life.

Summary

Disagreement exists among students of the matter as to whether lay governing boards are a form of academic governance indigenous and unique to the United States or whether they have European origins. Cowley, Conant, McGrath, and others have concluded that the lay governing board originated in the medieval

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[1] Malcolm G. Scully, "Faculty Members, Liberal on Politics, Found Conservative on Academic Issues," Chronicle of Higher Education, IV, No. 26 (April 6, 1970), 5.

[2] McGrath, Should Students Share the Power?, pp. 106-07.

[3] Ibid., p. 42.

Italian universities and reached colonial America by a recognized progression from Holland, Switzerland, and Scotland.

In the first colonial colleges members of the faculty ("tutors" at Harvard, "masters" at William and Mary) served on the corporations of those institutions in pre-Revolutionary years. Yale and Princeton have been recognized as the first colleges to have unitary governing boards composed of nonresident non-scholars, thus setting the pattern for America.

The boards of the early American colleges were composed primarily of clerics who, by virtue of their religious training, could govern a fiercely denominational institution, passing on the two most important qualifications of the faculty: their catechism and their morals. The college president was the presiding member of the faculty. In his appearances before the governing body, whether as an ex officio member or simply as head of the academic staff, he represented the faculty. Similarly, in meetings with the faculty he conveyed the authority of the board. The concept of an administration as separate from the faculty and from the board was largely a development of the twentieth century.

Prior to the American Revolution many of the "private" colleges were supported by the colonial legislatures. This support dwindled after the establishment of independent state governments and ceased altogether after the Dartmouth College decision in 1819 when the Supreme Court ruled that private institutions were outside the control of the state legislatures. Moreover, the advance of science with its needs for laboratories and apparatus, and the rise of universities with distinguished scholars, increased the costs of running an educational institution well beyond what they were in the early years and led to the creation of academic enterprises with significant business and financial interests.

As a consequence, during the latter half of the nineteenth and the beginning of the twentieth centuries, boards came to be composed of men of wealth and of affairs. These men could not only advise the institution on financial matters, but could--and often did--act as benefactors, contributing support from their own resources. Moreover, such men, successful in their own callings, were thought to be the best representatives of the public's interests.

Although some observers have seen a recent erosion of board authority, the traditional role of governing boards has been to represent the public as agents of the community and as guardians of the public's interests. Current formulations of the duties and responsibilities of governing boards continue to express this theme.

The early studies of the composition of college and university governing boards were attempts to document the extent to which academic governance was in the hands of a narrow stratum of wealthy business executives and professional men. Subsequent studies have confirmed these findings. Relatively few educators serve on college and university governing boards. The number of boards with faculty representation, although showing a slight tendency to increase over the past few years, is and has been quite small. At the same time, however, recent national surveys of the opinions of faculty and trustees on this matter reveal that over 85 per cent of the faculty and nearly 50 per cent of the trustees believe that faculty should be represented on the governing boards of their institution.

CHAPTER III

FACULTY REPRESENTATION ON GOVERNING BOARDS: A REVIEW OF THE LITERATURE OF A CONTROVERSY

Before discussing the decision by Roosevelt College in 1945 to adopt the practice of elected faculty representation on its governing board, it is worthwhile to consider what others have written on this matter. In analyzing this literature, it is helpful to consider that the arguments for and against faculty representation on boards have not merely reflected differing view points as to the most effective or efficient governing structure. In most instances they have reflected two different conceptualizations of the purpose and functions of such boards and how they obtain their legitimacy: that of "democratic representation" and that of "the public interest." The variety of arguments marshalled on both sides of this issue go beyond these two concepts. Nevertheless, it appears from reading the literature that these basic conceptual differences underlie and precede many of the arguments.

It need be noted that an individual's social or political position or economic role frequently determines which of these concepts he holds. As a general rule, faculty are more apt to support a "representative" governing board and lay trustees a "public" board, although there are some notable exceptions to this rule. College and university presidents are to be found on both sides of this issue, perhaps depending upon whether they view the faculty as allies against the lay trustees or the trustees as allies against the faculty.

The discussion of faculty representation on governing boards has extended over the past sixty or more years. As has been indicated, some of this discussion has taken the form of intense criticism of lay boards with the suggestion, direct or indirect, that they be abolished and academic governance turned over to the faculty exclusively. Others have reasoned that reform should come by broadening the occupational and economic base from which trustees are chosen and by increasing liaison with the faculty in ways other than by representation on the board itself. Many have proposed that elected faculty representatives be added to the existing lay governing board. As one student of this literature has observed: "Some of the tracts which have been written are thoughtful in approach and moderate in presentation. Others tend to be less so."[1] The following review of this controversy is presented in more or less chronological order. After each section, the salient arguments are summarized.

Critics of Lay Boards and Advocates of Faculty Trusteeship

Probably the first advocate of faculty representation on a college or university governing board was Jacob Gould Schurman, the president of Cornell University, who in his annual report to the trustees in 1912 (three years before the formation of the AAUP) wrote:

> What is needed in American universities today is a new application of the principle of representative government. The faculty is essentially the university; yet in the governing boards of American universities the faculty is without representation. The only ultimately satisfactory solution of the problem of the government of American universities is the concession to the professoriate of representation in the board of trustees or regents and these representatives of the intellectual, which is the real life of the university, must not be mere ornamental figures; they should be granted an active share in the routine administration of the

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[1] Thomas H. Hamilton, "The Control of Universities in the United States," p. 11.

> institution. . . . The board of trustees of Cornell University . . . represents everybody but the faculty.[1]

Schurman was, of course, referring to the fact that Cornell's board was already unique in being quite representative: including some trustees elected by the board, others elected by the alumni, some appointed by the governor and confirmed by the state senate, one appointed by the state grange, and the eldest male descendant of the founder, Ezra Cornell.[2]

Prior to Schurman, there were a number of critics of the lay board of trustees, but their recommendations generally took the form of advocating a greater delegation to the faculty of academic matters rather than a proposal for faculty trusteeship. A number of critics of lay governance writing after Schurman also suggested improvements in the faculty's position other than by representation on the board. The AAUP is a case in point.

It has been noted that Martorana claimed that there was "relatively little support . . . in the literature outside of the publications of the American Association of University Professors" for faculty representation on governing boards.[3] Put in this way, however, Martorana's statement is incorrect and misleading for several reasons. It is incorrect in that much, if not most, of the support for the concept of faculty trusteeship has been published outside of the Bulletin of the American Association of University Professors. It is misleading in that it suggests that the AAUP has endorsed faculty representation on governing boards; it has not. And it implies that outside of organized faculty groups there are few advocates of this mode of governance. This, also, is incorrect.

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[1] Jacob Gould Schurman, "Annual Report for 1912 of the President to the Trustees of Cornell University," published in Science, XXXVI (November 22, 1912), 703-07, reprinted as "Faculty Participation in University Government," in James McKeen Cattell, ed., University Control (New York: Science Press, 1913), p. 476.

[2] This hereditary trusteeship now provides Cornell with a student member on its board.

[3] Martorana, College Boards of Trustees, p. 98.

Committee T of the AAUP was organized precisely because of that organization's unhappiness with lay governance. Writing in 1920 the committee complained:

> Boards of trustees are composed chiefly of members of the vested interests and the professions--bankers, manufacturers, commercial magnates, lawyers, physicians, and clergymen. It is a somewhat rare thing to find on a board a representative of either the teaching profession or scientific research. Still rarer [sic] to find a representative of the industrial workers![1]

Their survey of member chapters conducted in 1917-19 revealed few institutions with a "formally recognized means of conference with the trustees other than through the president." The committee supported the desirability of having such "means of conference" and indicated that it was important for the faculty to be able to present its opinions to the trustees and to know what went on at board meetings. The committee suggested alternative means by which such faculty-board communication could take place:

> This end may be accomplished in several ways: members may be elected by the faculty to membership on the board of trustees for limited terms of office and without vote (the Cornell plan); or a faculty committee on university policy may be elected by the faculty from its own members to be present and advise with the board as a whole, or with a regularly appointed committee of the board on university policy (the plan in vogue at Princeton, Stanford, Wisconsin, etc.).[2]

It is interesting that full voting membership on the board was not listed as one of the desirable alternatives. When it came to making a recommendation, the majority of the committee voted against the Cornell plan (of non-voting representation)[1] and for the plan of joint meetings of faculty and board policy committees. The committee even opposed non-voting faculty representation on governing boards because it did not believe that faculty members should participate in determining the appointment and salary of their colleagues. The committee did include what might be construed as a minority report.

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[1] Committee T, American Association of University Professors, "Report of Committee T on Place and Function of Faculties in University Government and Administration," AAUP Bulletin, VI, No. 3 (March, 1920), 20.

[2] Ibid., p. 26.

> On the other hand, some members of your committee are in favor of faculty representatives elected to membership on the boards of trustees. They urge that this experiment should be tried out and that time be given for it to be worked out fully. They do not see why a man with first-hand acquaintance with the educational work of a university, with the institution's weaknesses and needs, and with the needs of his colleagues, should not be an admirable representative of the faculty on the governing board.[2]

However, this remained a minority opinion. Although reconstituted at various times throughout the years and continuing to believe that "there ought to be close understanding between the faculty and the board of trustees,"[3] Committee T continued to support the alternative of a conference-committee as against faculty representation on the board. In 1936, for example, Committee T reiterated that the conference-committee "commends itself to American experience more readily than the plan of electing faculty representatives to the board itself."[4] Similar recommendations were made in 1938, 1941, 1960, and 1962.[1] In these latter years faculty representation on the board was mentioned again as an acceptable possibility although the committee's preference for the conference-committee was clear.

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[1] Schurman had apparently intended the faculty trustees at Cornell to be full voting members, but in the arrangement worked out with the board, they were not given voting powers.

[2] Ibid., pp. 26-27.

[3] Paul W. Ward, "Report of Committee T on the Place and Function of Faculties in College and University Government," AAUP Bulletin, XXXIV, No. 1 (Spring, 1948), 58.

[4] Committee T, American Association of University Professors, "Place and Function of Faculties in University Government: Report of Progress of Committee T," AAUP Bulletin, XXII, No. 3 (March, 1936), 186.

At least one AAUP member, Alan R. Thompson, was rather angry at his organization's disinclination to support faculty trusteeship and wrote an article for the AAUP Bulletin "to urge that the American Association of University Professors make it a fundamental policy to seek legal representation of the faculty on the governing board of every college and university in the country."[2] Thompson criticized Committee T for not having recommended or supported this position and added, "it is hardly a very revolutionary thing to ask why the people who do the work of an institution, and who alone know what should be done to improve it, are excluded from its legal management."[3] He was equally critical of advocates of the so-called "Cornell plan" whose support of faculty representation on the board stopped with the right of franchise.

But if the AAUP did not support elected voting representation of the faculty on the governing board, there were those who did. One of these was Charles F. Thwing, president of Western Reserve University, whose institution adopted this structure. In 1926 Thwing reasoned:

> The current remoteness of sympathy and the diversity of interpretation of coordinate functions [between the faculty and the board of trustees] should so far as possible be removed. To secure this removal, I believe, it is well for certain members of the faculty to be

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[1] Ibid., XXIV, No. 2 (February, 1938), 143; ibid., XXVII, No. 2 (April, 1941), 157; ibid., XLVI, No. 2 (June, 1960), 203; ibid., XLVIII, No. 4 (December, 1962), 323.

[2] Alan R. Thompson, "The Professor and the Governing Board," AAUP Bulletin, XXXV, No. 4 (Winter, 1949), 678.

[3] Ibid., p. 682.

> made members of the board. There are reasons, however, against such a procedure. For, as one of their fundamental duties, trustees determine salaries for the teaching staff. It is unbecoming for members of the teaching staff to determine their own salaries. Furthermore, not infrequently trustees wish, and properly wish, to discuss intimate questions of the internal administration, without the presence of members of the faculty who may themselves become the subject of discussion. Yet, on the whole, the arguments for such membership are weightier than the objections. In Cornell University and Western Reserve, certain members of the faculty sit in the meetings of the trustees, without, in some instances the right to vote. Sympathy, both personal and administrative, is thus created and promoted.[1]

Presidents Schurman and Thwing were not the first to criticize lay governing boards. One of the earliest critics was Francis Wayland, the president of Brown University, who wrote in 1829: "The man who first devised the present mode of governing colleges in this country [by men "who know about every other thing except education"] has done us more injury than Benedict Arnold."[2] Another early critic of the lay governing board was the Reverend Jasper Adams, president of Charleston College in South Carolina. In 1837 he delivered an address "On the Relation Subsisting Between the Board of Trustees and Faculty of a University" in which he asserted that "the circumstance that the faculty are appointed by the trustees [does not] of itself place the former in an inferior position to the latter."[3] Rather, the trustees should be responsive and subservient to the faculty in all academic and curricular matters.

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[1] Charles Franklin Thwing, The College President (New York: Macmillan Company, 1926), p. 51. A survey by Committee T of the AAUP, however, revealed that by 1935 Western Reserve had given up faculty representation on its board (AAUP, "Place and Function of Faculties in University Government: Report of Progress of Committee T," AAUP Bulletin, XXII, No. 3 [March, 1936], 186).

[2] Letter of Francis Wayland to James Marsh, 1829, quoted in Frederick Rudolph, The American College and University: A History (New York: Vintage Books, 1965), p. 172.

[3] Address delivered to the American Institute of Instruction at Worcester, Mass., August, 1837, contained in American Higher Education: A Documentary History, I, ed. by Richard Hofstadter and Wilson Smith (Chicago: University of Chicago Press, 1961), 316-17.

The conclusion reached by Reverend Adams, that there should be a separation and delegation of authority, with the faculty rather than the board responsible for academic matters, was the same as that reached by another critic of the lay governing board, John Dewey. Writing for a meeting of the Association of American Universities, which was held at the University of California in 1915,[1] Dewey said:

> I assume without argument that there is much dissatisfaction felt by most faculties at present, because so many important questions, educational directly and educational or administrative secondarily, are settled without their active participation; and that, after all allowances for weakness of human nature have been made, the essence of the feeling is justified. It is an undesirable anomaly that fundamental control should be vested in a body of trustees or regents having no immediate connection with the educational conduct of our institutions.[2]
>
> . . . .
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> The desirable division between trustees and faculties is that the former should be trustees of funds and the latter the guardians of all educational interests.[3]

Despite Dewey's criticism of lay governing boards he neither challenged their legitimacy nor recommended faculty representation on them. Rather, he proposed a solution later found pleasing to Committee T of the AAUP, that the faculty elect a conference-committee to meet with a similar committee of the board. Although some, like Dewey and Committee T, were moderate in their demands, other critics were less temperate:

In 1902 James McKeen Cattell of Columbia went so far

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[1] One of those who heard this address, which was read for Dewey by the delegate from Columbia University, was Edwin R. Embree, delegate from Yale, who was later to be a founding trustee of Roosevelt University and the first chairman of its board.

[2] John Dewey, "Faculty Share in University Control," Journal of Proceedings and Addresses of the Seventeenth Annual Conference of the Association of American Universities, held at the University of California, August 27 and 28, 1915 (Chicago: University of Chicago Press, 1915), p. 27.

[3] *Ibid.*, p. 28.

> as to argue that presidents and trustees "can scarcely be regarded as essential" . . . [and] when a national meeting of university trustees was called at Urbana in 1905 to discuss the responsibilities of such men, Joseph Jastrow of Wisconsin boldly addressed the group, demanding that they relinquish their power in favor of faculties.[1]

Thorstein Veblen, Upton Sinclair, and John Kirkpatrick have contributed what amounts to a separate genre in the body of works criticizing lay governing boards.[2] Their vituperation, sarcasm, and contempt was boundless. Veblen and Sinclair were particularly ready to do away with lay boards entirely and turn university governance over to the faculties. Although writing nearly half a centruy ago, there is a familiar ring to their rhetoric denouncing the nefarious and plutocratic business interests which they saw as dominating and perverting higher education. The current reader finds it strikingly similar to the tone and content of some of the recent statements of disaffected students who at Columbia, Berkeley, Chicago, and elsewhere have called for a disengagement of higher education from the "military industrial complex" and a radical restructuring of authority, with power going to the students.

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[1] Lawrence R. Veysey, The Emergence of the American University (Chicago: University of Chicago Press, 1965), p. 392. Subsequently Cattell became slightly more moderate on this issue. He devised a scheme for university governance in which he proposed that the faculty, the alumni, and the members of the general university community each elect one-third of the trustees; moreover, he conceded that the faculty's representatives need "not necessarily [be elected] from among themselves" (Cattell, ed., University Control [New York: Science Press, 1913], quoted in Hofstadter and Smith, American Higher Education, II, 785).

[2] Thorstein Veblen, The Higher Learning in America: a Memorandum on the Conduct of Universities by Business Men (New York: B. W. Huebsch, Inc., 1918); Upton Sinclair, The Goose-Step: A Study of American Education (Revised edition; Pasadena, California: by the author, 1923); Kirkpatrick, American College and Its Rulers, Force and Freedom in Education, and Academic Organization and Control.

Sinclair, for example, declared, "our educational system today is in the hands of its last organized enemy, which is class greed and selfishness based upon economic privilege. To slay that monster is to set free all the future."[1] Veblen was more pointed in his attack on governing boards:

> The typical modern university is in a position, without loss or detriment, to dispense with the services of any board of trustees, regents, curators or what not. . . . These governing boards of business men commonly are quite useless to the university for any businesslike purpose. . . . Their sole effectual function being to interfere with the academic management in matters that are not of the nature of business, and that lie outside their competence and outside the range of their habitual interest.
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> The governing boards . . . are an aimless survival from the days of clerical rule. . . . They have ceased to exercise any function except a bootless meddling with academic matters which they do not understand. The sole ground of their retention appears to be an unreflecting deferential concession to the usages of corporate organization and control.[2]

Other early advocates of faculty representation on governing boards included Professor Creighton of Columbia University;[3] Dean McConn of Lehigh University, who was one of the first to also advocate student representation on the board;[4] McVey, who predicted that "the time will come when members of the faculty and possibly representatives of the student body will be found on the membership of the institutional board;"[1] Laski;[2] Eggertsen;[3] Sparling;[4] Tead, who presaged, "I hazard the prophecy that within ten to fifteen years it will become a far more usual practice than now to have direct faculty representation on trustee bodies;"[5] and Alexander.[6]

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[1] Sinclair, The Goose-Step, p. 478.

[2] Veblen, Higher Learning in America, p. 48.

[3] James Creighton, "Remarks in Response to an Address by John Dewey," Journal of Proceedings and Addresses of the Seventeenth Annual Conference of the Association of American Universities, held at the University of California, August 27 and 28, 1915 (Chicago: University of Chicago Press, 1915), pp. 38-39.

[4] [Charles] Max[well] McConn, College or Kindergarten? (New York: New Republic, 1928).

Alexander, like McConn, suggested a board organization in which faculty representation was dominant. He proposed a board of 17 members of whom 9 would be faculty representatives, the other members including three students, two alumni, two from the general public and the institution's president.

McConn's proposal had been for "a board of twelve members composed of six members of the faculty, elected by the senior class, and three alumni, elected by the alumni association."[7] In support of this proposal, McConn argued that the faculty would not elect those of their colleagues who were deficient in business and administrative skills. Answering the charge that faculty trustees would be self-serving, he said, "all I should really fear in this connection is that departments with which the faculty trustees were affiliated would suffer, during their incumbency of the trusteeship, from a too scrupulous leaning over backwards on their parts."[1] As to representation from the public, he argued:

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[1] Frank L. McVey, "Administrative Relations in Colleges: Faculty, President, and Trustees," AAUP Bulletin, XV, No. 3 (March, 1929), 229.

[2] Harold J. Laski, "Self Determination for College Faculties," New Republic, LXXV, No. 968 (June 21, 1933), 149.

[3] Claude A. Eggertsen, "Composition of Governing Boards," Democracy in the Administration of Higher Education, Tenth Yearbook of the John Dewey Society, ed. by Harold Benjamin (New York: Harper & Bros., Publishers, 1950), p. 123.

[4] Edward J. Sparling, "Evaluating Some Efforts to Achieve Democracy in Administration," ibid., pp. 209-10.

[5] Ordway Tead, "College Trustees: Their Opportunities and Duties," Journal of Higher Education, XXII, No. 4 (April, 1951), 174.

[6] Robert J. Alexander, "Should the Faculty Run the Board of Trustees?" American Teacher, XXXVIII, No. 3 (December, 1953), 14-15.

[7] McConn, College or Kindergarten, pp. 258-59.

> I see no good reason why the general public, the great mass who have no interest in scholarship, no understanding and appreciation of scholarship, is entitled to representation on the governing board of a Scholar's College. . . . The only portion of the general community entitled to have, or in any way interested in having, representation on a Real College board would be that small portion which really values high scholarship and the intellectual life. And that portion could hardly be better represented than by six members of the faculty, three honor students, and three honor alumni.[2]

McConn was a good dean, interested in obtaining every advantage for his faculty. In addition to urging their representation on the governing board, he added, "of course the faculty trustees would have to be relieved of part of their teaching."[3]

Although the studies and popular writings showed that there were other elements of society, besides faculty, who were not represented on college and university governing boards, few of the critics were concerned about gaining representation for these. Beck was one who was. After making the point that "democratic principles and sound logic also required the representation of those most intimately concerned with higher education and most familiar with its processes, namely: faculty, students, and alumni--in other words, the specific producers and consumers of higher education." Beck went on to add: "In the author's judgement, however, the wide outreach and vital national, international, and social implications of higher education, as well as the tenets of a democratic philosophy, necessitate that the controlling bodies include a representation that extends beyond those immediately concerned and encompasses representatives of the major classes of society."[4] He suggested that in order to make university control more democratic

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[1] _Ibid_., p. 260. [2] _Ibid_., p. 262. [3] _Ibid_.

[4] Beck, _Men Who Control Our Universities_, p. 150.

a university board might be composed of 13 members, namely:
  8 representatives of The Public (at least one of whom should be a woman), distributed as follows:
    2 representatives of business, broadly defined
    2 representatives of the professions
    2 representatives of agriculture
    2 representatives of wage earners
  5 representatives of The University (at least one of whom should be a woman), distributed as follows:
    2 representatives of the faculty
    2 representatives of the alumni
    1 representative of the students[1]

He thought that the specific composition of the "public" trustees should depend on the location and character of a particular institution so that, for example, a college in an industrial community might have more wage earners on its board than one in a rural community where agriculture was a more important curricular concern. He emphasized that "the proportion [of faculty] including any outside educational experts should remain a minority"[2] on the board so that they would not promote their own interests or resist needed changes.

Despite the many advocates of faculty trusteeship here cited, this position was relatively uncommon prior to the 1960's, and institutions in which it was practiced were even less common. Within the last decade, however, there has been considerable increase in support for adding faculty (and more recently, student) representatives to governing boards. Undoubtedly, much of this support has been connected, directly or indirectly, with various episodes of student unrest where greater student participation in governance has often been a demand, where an increasing resentment on the part of junior faculty to the power exercised by their senior colleagues has surfaced, and where to some senior faculty--experiencing a disruption of their classes or research by rebellious students or by police squads invoked by angry trustees--the whole situation seemed to be out of hand.

One eminent student of the administration of higher education, T. R. McConnell, believes, "governing boards composed exclusively of laymen are no longer adequate to the task of governing colleges and universities large or small."[1] He has suggested that

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[1] Ibid., p. 151. [2] Ibid., p. 152.

> Governing boards should be reconstituted to include a substantial proportion of faculty representatives. Faculties quite rightly will not accept a token proportion of faculty representation. One or two faculty members in a rather large governing board, however conscientious they may be, will find it difficult to express the interests of a diverse constituency or to wield much power when critical decisions are made.[2]

A similar opinion was stated only slightly more cautiously by Wicke who was addressing primarily the trustees of colleges affiliated with the United Methodist Church.

> The classic theory has been that the board of trustees must be detached and objective; and that since the board evaluates the effectiveness of the institution, it ought not to include those whose work is being appraised. There is much to suggest that this theory, here much over-simplified, is no longer fully tenable. Faculty members are the professionals, the "experts," and education, like any other professional matter, demands expertise of a high order.
>
> In my judgment, two steps ought seriously to be considered by every board of trustees. The first would be to add to the board at least two members of the faculty, or two distinguished educators from other institutions, possibly alumni. This would supply to the board of trustees at least two professional educators in addition to the president.[3]

Support for faculty representation on governing boards has been expressed by Nabrit and Scott,[1] and by the president of Brandeis University, Morris Abram, who said that "both faculty and students should participate on boards of trustees,"[2] as well as by student leaders[3] and at least one popular newspaper columnist.[4]

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[1] T. R. McConnell, "Campus Governance: Faculty Participation," Research Reporter (Center for Research and Development in Higher Education, University of California, Berkeley), V, No. 1 (1970), 3.

[2] *Ibid.*, p. 4.

[3] Myron F. Wicke, Handbook for Trustees, Studies in Christian Higher Education, No. 5 (revised edition; Nashville: Division of Higher Education, Board of Education, United Methodist Church, 1969), pp. 4-5.

Summary of Arguments for Faculty Trusteeship

Democratic Representation.--The principal argument of those advocating faculty representation on governing boards is that in a democracy every unit of government, including the government of an academic institution, requires the representation and the consent of the governed for its authority. This is the concept of the "representative" board. The faculty, according to this belief, have what amounts to an inalienable right to a voice in the formulation of the policies of the institution of which they are a member. Not to have a representative on the governing board is to be disenfranchised, a second-class citizen. Such subordinate status, it is contended, results in a lack of initiative and self-confidence, and contributes to lowering the general social status and esteem of college professors. The president, according to this view, is not able to act satisfactorily as the faculty's representative for several reasons: one, he is not elected by, and therefore is not responsible to, the faculty; two, not really being one of them, he is not able to adequately reflect or convey the opinion and interests of the faculty to the board--the institution is too diverse and the president too preoccupied with other concerns to know what the faculty really thinks; and three, the president has his own special interests which differ from, and are sometimes in conflict with, those of the faculty. For these reasons, it is argued, the faculty needs its own representative(s) on the board.

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[1] Inventory of Academic Leadership, p. 28.

[2] Abram, "Reflections on the University," p. 134.

[3] See, for example, Robert Weinberg, "The Report of the Ad Hoc Student Advisory Committee, State of Illinois, Board of Higher Education, May, 1970" Chicago: Illinois Board of Higher Education, 1970 (mimeographed); and Thomas R. Ross, "NU Student Head Blames US Leaders for Unrest," Chicago Sun Times, July 17, 1970, p. 2.

[4] Sidney J. Harris, "Wrong Way to Choose Trustees," Chicago Daily News, April 7, 1970, p. 12.

(This concern for democratic representation has led some proponents of faculty trusteeship to observe that there is inadequate representation on governing boards from certain other social groups served by higher education. These critics of the status quo have urged that faculty representation be coupled with adequate representation from such disenfranchised social groups as labor, women, Blacks, and students.)

The other arguments in support of faculty representation derive support from this concept of a board as a representative body.

Professional Competence.--A second argument advanced in support of faculty representation on the board is that lay trustees lack the professional competence to deal with the many educational issues which are brought to them. Virtually every decision that a board is called upon to make, it is reasoned, has some implication for the educational program. For a board to make decisions without adequate faculty representation is to do injury to the educational purposes of the institution. Moreover, since the faculty are responsible for the implementation of many of the board's decisions, it is only sound administrative practice for them to participate in the deliberations regarding, and the formulation of, these decisions.

Academic Freedom.--A third argument for faculty representation on the governing board centers around the issue of safeguarding academic freedom. A lay board of control, unleavened by faculty, is dominated by businessmen and "plutocrats" with vested interests inimical to the preservation of academic freedom. The tendency of representatives of "the power structure" is to regard faculty as inferior and subordinate and to consider academic freedom of little importance. It is argued that the principal battles for academic freedom waged by faculties over the years have been with lay governing boards. Such battles are likely to continue until there is adequate faculty representation on the governing board. Moreover, only by having open meetings with full publicity and reporting is freedom protected from those who would act in secret to deny it.

Improved Communications.--It is essential, many reason, that there be open communication between the faculty and the board; otherwise they are too remote from each other's thinking. The best way to provide this communication is to have faculty representatives serve on the board. Communication can take place without such representation, but it is apt to be furtive, brief and either inconsequential or distorted. Chance remarks between trustees and faculty at receptions and social gatherings take on disproportionate significance. How much better to have a regular and formal avenue of communication in the person of a faculty representative on the board.

Faculty Power.--A fifth argument in support of faculty representation is that, American custom and law to the contrary, the faculty is the university and should therefore be represented on, if not dominate, the governing board. The essence of an academic institution, it is reasoned, is the teaching and research done by the faculty. Without the faculty, an institution would cease to exist. Other countries, it is advanced, notably England, recognize the importance of faculty by granting them greater autonomy in the conduct of their affairs. The least that should be done in this country to remedy the situation is to grant representation on the governing board.

Opponents of Faculty Representation on Governing Boards

Those who have defended the lay governing board in American higher education and who have opposed faculty representation, have been in the position of defending the status quo. Even though the various proponents of such representation have been persuasive, persistent, prestigious, and shrill, the opponents have had on their side the force of tradition and law as well as the force of argument.

At a number of institutions the basic charter or statute contains a proscription against faculty membership on the governing board. One such institution is Columbia University, whose original charter was amended in 1810 to include a provision that "no . . . professor, tutor, or other assistant officer" shall ever be a trustee.[1] A recent publication of the Association of Governing Boards reported that "the provision that faculty members cannot be elected trustees remains in force" at Columbia.[2] Similar provisions against faculty participation on the governing board exist at Lehigh University, Massachusetts Institute of Technology, Oberlin College, University of Oregon, and University of Wyoming.[3] Kirkpatrick reported such a provision at Harvard, prohibiting any member of the faculty from membership on the Board of Overseers.[4]

State legislatures have, from time to time, enacted legislation prohibiting faculty from membership on governing boards, and such membership has been denied by virtue of legal opinion even where no specific legislation existed. An example of the former is a New York law of 1876 which declared that no professor or tutor of any incorporated academy should be a trustee of such academy.[5] An example of the latter is a recent ruling by Frank Kelley, attorney general of the State of Michigan, that it would constitute a conflict of interest for faculty members to serve on the governing boards of any of Michigan's state-supported colleges or universities.[6]

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[1] Quoted in Elliott and Chambers, Charters and Basic Laws, pp. 151-53.

[2] AGB Notes, I, No. 4 (April, 1970), [2].

[3] Elliott and Chambers, Charters and Basic Laws, pp. 17-23.

[4] Kirkpatrick, Academic Organization and Control, p. 175.

[5] Ibid.

[6] William Grant, "Student Service on State College Boards Ruled Conflict of Interest in Michigan," Chronicle of Higher Education, IV, No. 19 (February 16, 1970), 1.

In addition to statutes, laws, and legal opinion which, in some institutions, prohibited faculty representation on the governing board, "it may be said that custom has excluded faculty members from membership in the governing bodies of the colleges almost universally and almost as effectively as statutes would do it."[1] Custom, however, was buttressed by argument and by the voice of respected authorities at frequent intervals.

One early authority was President Francis Wayland, of Brown University, who in discussing the powers and authority of the board of visitors (or board of trustees) asserted that members of the college should not exercise visitorial powers over themselves. To do so would be "evidently an abuse and . . . inconsistent with the well being of the institution."[2] Dean Burgess of Columbia and President Eliot of Harvard were supporters of the lay governing board[3] as was Eliot's successor at Harvard, A Lawrence Lowell, who asserted:

> [The expert faculty and the lay governing board] each has its own distinctive function and only confusion and friction result if one of them strives to perform the function of the other. From this follows the cardinal principle, popularly little known but of well-nigh universal application, that experts should not be members of a non-professional body that supervises experts.[4]

Lowell's rule against experts supervising experts was echoed in a slightly different fashion by a regent of the University of South Dakota who said:

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[1] Kirkpatrick, Academic Organization and Control, p. 175.

[2] Wayland, Thoughts on the Present Collegiate System, p. 32.

[3] John W. Burgess, The American University: When Shall it Be? Where Shall it Be? What Shall it Be? (Boston: Gin, Heath & Co., 1884), p. 11; Charles W. Eliot, University Administration (Boston: Houghton Mifflin Co., 1908), p. 2.

[4] Lowell, "Relation Between Faculties and Governing Boards," p. 286.

> Then there is the other argument for faculty representation, namely, that control of higher education should be in the hands of the experts who understand higher education, and not in the hands of ignorant laymen. . . . The layman is a tax payer. And he has a right to be represented. . . . It is the privilege of democracies to be ignorant. . . . Ignorance has a right to representation.[1]

C. E. McCallister, president of the Association of Governing Boards of State Universities and Allied Institutions, was apprehensive about faculty representation, which, he said, "is capable of introducing campus politics to a degree detrimental to the interests of an institution."[2]

On the other hand, faculty trusteeship has also been opposed because it was inconsequential rather than ominous. William Allen, Director of the Institute for Public Service, wrote:

> One mistaken belief is now threatening to sweep through faculties; viz., that it will foster faculty democracy to have faculty delegates on boards of trustees or at trustees meetings. There is no sadder fallacy than that physical presence of a faculty member is equal to faculty representation.[3]

Another who saw it as inconsequential was the chancellor of the University of Buffalo who said:

> Few . . . institutions have ever provided for the attendance of official faculty representatives at board meetings, either as board members or in the guise of watch and ward committees. In my opinion, the sole possible gain from such a provision is to allay faculty suspicion of the board, if the faculty happens to cherish suspicion. In every other respect this type of participation in institutional control has been where tried, and always would be, quite meaningless although relatively innocuous.[4]

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[1] Alvin Waggoner, "Methods of Selecting Board Members," Proceedings of the Association of Governing Boards of State Universities and Allied Institutions (1928), pp. 35-36.

[2] McCallister, Inside the Campus, p. 12.

[3] William H. Allen, Self-Surveys by Colleges and Universities (Yonkers-on-Hudson: World Book Company, 1917), p. 167.

[4] Capen, The Management of Universities, p. 18.

However, most of the opposition to adding faculty representatives to governing boards has been on the grounds of ill-consequence rather than inconsequence.

Over a decade before its student crisis of 1968, the Board of Trustees of Columbia University felt itself under some pressure to evaluate its role and composition, and appointed a special committee of trustees to consider these issues. The committee rejected the concept of faculty representation, reporting:

> [This Committee] does not believe a more satisfactory composition of boards of trustees will be achieved merely by adding faculty to these boards because they are faculty. . . . That the administration of university affairs is quite a different matter from the pursuit of learning is indeed a statement to which this Committee assents, believing also that high aptitudes for both are seldom found in the same person.
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> . . . .
>
> The Committee rejects any idea of proportional representation on the Board as among professions, social classes, or special interests of any kind. The idea that "executives," "labor," "the professions" or other such group should have "spokesman" implies an inability to achieve the disinterestedness that is essential to the governing of a university.[1]

This concept was accepted by the full board at Columbia when it adopted the committee's report.

Another governing board to consider faculty representation and reject it was that of the University of Pennsylvania. That board appointed an outside consultant, Donald Belcher, an executive of the American Telephone and Telegraph Company, to study and evaluate its policies and practices. Belcher saw the matter in organizational and managerial terms. The board delegates authority to the president and holds him accountable. The president must report and make recommendations to the board.

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[1] Columbia University, Role of the Trustees, pp. 14 and 16. A similar argument was advanced recently by Pfnister who suggested that faculty are contemplative, deliberative, tentative, and resist coming to firm and immediate decisions, and that these scholarly qualities make them less good in helping resolve, or in accepting the resolution of crisis situations (Allan O. Pfnister, "The Role of Faculty in University Governance," Journal of Higher Education, XLI, No. 6 [June, 1970], 430-49).

> That a faculty representative should be present [at board meetings] to argue with the President, or even as a "watch dog" to report the President's performance back to the faculty is clearly contrary to all principles of good organization. . . .
> I recommend that no member of the faculties of this University be added to its Board of Trustees, whether by faculty or by Board action.[1]

Evidently the faculty at Pennsylvania saw the matter the same way. A member of the faculty of that institution was sanguine in reporting to the AAUP:

> The proposal has been advanced at various times that a member of the University faculty be accorded a seat on the Board of Trustees; but an ad hoc committee of the University Senate appointed recently to consider the whole subject of relations between trustees and faculty recommended unanimously against this proposal, as having more disadvantages than advantages. This recommendation was accepted without dissent by the University Senate. . . . In general the faculty seems to be satisfied to have the President represent its interests in dealing with the Trustees.[2]

The Board of Trustees of Northwestern University also recently considered and denied voting membership to both students and faculty. In this instance, however, both the faculty of the College of Arts and Sciences and the Student Forum had been supplicants for this privilege. The special committee of the board which considered these requests was reported as having explained only that student and faculty memberships "would not be appropriate."[3] This position was in accord with the view against such membership taken by the chairman of that board a dozen years before.[1]

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[1] Donald R. Belcher, The Board of Trustees of the University of Pennsylvania (Philadelphia: University of Pennsylvania Press, 1960), p. 43.

[2] Glenn R. Morrow, "The University of Pennsylvania: Faculty Participation in the Government of the University," AAUP Bulletin, XLIX, No. 2 (Summer, 1963), 114.

[3] Ann Beasley, "Board Refuses Seats and Proxies: Faculty, Students Denied Votes," Daily Northwestern, XC, No. 97 (April 7, 1970), 1.

Kingman Brewster, Jr., the president and presiding officer of the governing body of Yale University, has also considered and rejected the concept of faculty trusteeship: "Representation of faculty, students, or anyone else directly affected by their [the governing board's] decision[s] would immediately corrupt the essence of trusteeship and turn it into a legislative forum of 'blocs.'"[2] This understanding of the role of the board as constituted of disinterested lay trustees representing the public is shared by Eberle.

> The lay board concept and process is desirable because the reason for the operation of a higher education institution is to fulfill a public function. Therefore, those who interpret and state the public's (and publics') interests in the educational enterprises must have as few vested interests as possible. This lay concept should be strengthened rather than weakened if higher education's responsibility to society is to be fulfilled. Much needs to be done to strengthen it. Proposals to place students and faculty on lay boards do not provide the requisite strength.[3]

Although the argument regarding conflict of interest is the principal and most frequently cited objection to the inclusion of faculty representation on the governing board, various other objections have been given in recent years. Carman, for example, was concerned about "the time such participation takes away from the faculty member's primary job--research and instruction."[4] Dibden was concerned that a faculty trustee would be apt to "violate . . . the proper privacy of the two authority groups to which he belong[ed]."[1] Millet was concerned that such representation might lead detrimentally to "acknowledging board authority on an extensive scale in matters academic."[2] Father Drinan's concern that "professors on the board of trustees might result in a situation where the trustees would feel any judgement on their part opposed to the view of their fellow trustees who are faculty would be an infringement on the academic powers of the faculty,"[3] was the opposite of Millet's. One feared an intrusion by the board into academic affairs, the other feared a backing away from this area of responsibility out of deference. Rauh has taken a position similar to Millet's in opposition to students (and, by inference, faculty) serving on governing boards. Such service, he feared, would "further erode the principle of lay trusteeship" and increasingly tempt boards "into actions they are not qualified to make."[4] Rauh is not opposed to student and faculty involvement, however, and suggested that these groups elect representatives to the board other than from among their own number.

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[1] Kenneth F. Burgess, "The Trustees' Function in Today's Universities and Colleges," Association of American Colleges Bulletin, XLIV, No. 3 (October, 1958), 401.

[2] Kingman Brewster, Jr., Yale University: 1968-69--The Report of the President ([New Haven:] Yale University Press, 1960), p. 20.

[3] August W. Eberle, "Tricameral System Aligns at Policy Level," College and University Business, XLVII, No. 1 (July, 1969), 32.

[4] Harry J. Carman, "Boards of Trustees and Regents," p. 81.

Frederick Ness, president of the Association of American Colleges, a former college president himself, expressed opposition to faculty representation because, he claimed, it erodes the president's authority.[5] Martorana was also opposed on the slightly more general grounds that such representation has "historically been considered poor administrative practice."[1]

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[1] Benjamin Steinzor and Arthur J. Dibden, "Academic Round Table: The Professor as Trustee," Journal of Higher Education, XXXIV, No. 6 (June, 1963), 347.

[2] John D. Millett, The Academic Community: An Essay on Organization (New York: McGraw Hill Book Company, Inc., 1962), p. 240.

[3] Robert F. Drinan, S. J., "Implications of the Duff-Berdahl Study for the Governance of American Institutions of Higher Education," address delivered at the 1968 Summer Conference of the American Association for Higher Education (Washington, D.C.: American Association for Higher Education, 1968), p. 10. (Mimeographed.)

[4] Morton A. Rauh, "The Token Trustee," Antioch Notes, XLVIII, No. 1 (September, 1970), [1].

[5] Frederick W. Ness, speech before a meeting of the Association of Governing Boards, San Francisco, 1970, as reported by Ron Moskowitz, "Warned Against Big Names: Trustees Told How to Conduct Presidential Search," Chronicle of Higher Education, IV, No. 29 (April 27, 1970), 7.

Although much of the opposition to faculty representation on governing boards has come, and continues to come, from trustees and presidents who might be suspected of having a vested interest in the existing arrangement, opposition to this concept has been expressed publicly by a professor of history and government at California Institute of Technology and by a political scientist at Michigan State University.[2] Recently the Stanford University chapter of the American Association of University Professors advocated that faculty at other institutions be made members of the Stanford governing board, because, they said, "it would not be appropriate for Stanford faculty or students to be members of the board . . . this would blur the delineation of roles in university governance."[3]

It should also be noted that although Schurman, Thwing, and Sparling, the presidents of Cornell, Western Reserve, and Roosevelt--institutions where faculty representation on the governing board was actually tried--endorsed this plan, there has been little written against this practice by anyone experiencing it first hand. However, two critics claim to have seen this governing structure work out badly at other institutions. Burgess wrote:

> I have seen a limited faculty membership on a trustee board work out badly because the deans of the departments which were not represented were suspicious that the faculty trustee was . . . looking after the interest of his school. It became necessary in preserving harmony to eliminate all faculty membership.[4]

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[1] Martorana, College Boards of Trustees, p. 56.

[2] William B. Munro, "Boards of Trustees and College Faculties," Association of American Colleges Bulletin, XXVII (May, 1941), 321; and Charles R. Adrian, "The State University in a Democracy: Reactions to a Proposal by Max Savelle," AAUP Bulletin, XLIV, No. 3 (September, 1958), 568.

[3] Lawrence E. Davies, "Stanford Alters Governing Setup: To Add 4 Young Graduates to Board of Trustees," New York Times, September 22, 1969.

[4] Burgess, "Trustee's Function," p. 401.

Carman, identifying a specific institution, reported: "In Bard College, where faculty representation was tried, difficulties arose between the president and the faculty over matters of educational policy which resulted in strained relations between the two."[1]

In the literature on faculty trusteeship there is one article in which the actual workings of faculty representation on the governing board of a specific institution is evaluated. This evaluation was made by F. G. Marcham, for five years a faculty representative on the Board of Trustees of Cornell University, as part of a panel discussion at a program meeting of the AAUP chapter of Cornell on January 19, 1965. It was published in the Winter, 1956, issue of the AAUP Bulletin together with short statements by two other members of the Cornell faculty, Max Black and George Winter, who participated in the panel discussion.[2]

As is footnoted in the article, Marcham wrote just prior to the time when the faculty representatives on the Cornell Board of Trustees were given voting rights. However, faculty representatives had been on the board (without vote) for almost forty years. Marcham attempted to evaluate these four decades of experience and his part in it. He reported that the faculty representatives regularly attended all the meetings as well as all the informal social gatherings of the board. They were treated with respect and good will by the other trustees. And they attempted conscientiously to contribute to the decision-making process within the context of the board.

Nevertheless, Marcham concluded that faculty representation on the Board of Trustees of Cornell University had been something of an empty symbol, a not-very-meaningful gesture of cooperation. He suggested that faculty representation on the board neither fulfilled the expectations of its initial advocate, President Jacob Gould Schurman, who welcomed allies in presenting academic issues to a lay governing board, nor did it fulfill the faculty's hope that it would thereby gain an effective voice in policy formulation and determination.

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[1] Carman, "Boards of Trustees and Regents," p. 81.

[2] Max Black, "Academic Government," AAUP Bulletin, XLII No. 4 (Winter, 1956), 615-17; F. G. Marcham, "Faculty Representation on the Board of Trustees," ibid., pp. 617-21; George Winter, "Faculty-Trustee Communications," ibid., pp. 621-22.

Part of the problem, as Marcham saw it, was that the Board of Trustees itself had become relatively powerless. Faculty representation, he lamented, "can do little more than join the faculty--itself a relatively powerless group--to a board which has little influence on the development of the university."[1] The real power, he alleged, was held by the administration, particularly by the president and his assistants. The agenda distributed five or six days before meetings consisted of individual items on which the president would request specific action. Not only was there little or no attempt to formulate general policy questions out of these specific items of business, but the president's proposals were almost invariably approved by the board. Not only were the faculty representatives, and other trustees, relatively unfamiliar with the specific agenda items compared to the president, but the president had the authority of his office behind him and could turn any issue into an overt or covert vote of confidence. "Only once," in Marcham's experience as a trustee, "did the faculty representatives succeed in persuading the trustees to support their views against those of the president."[2] Marcham accused the president of acting without consulting either the faculty or the other members of his administration.

> The president's cabinet, on which the dean of the faculty had a seat, has gone. Indeed, there is today no continuing provision for bringing together members of the faculty and of the administration for the formulation of university policy.[3]

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[1] Marcham, "Faculty Representation," p. 621.

[2] *Ibid.*, p. 619. [3] *Ibid.*, p. 620.

Another part of the problem was with the faculty and the faculty representatives. Once elected they acted as individuals without consulting or reporting to their constituency.

> The faculty has never admonished or challenged its representatives for their acts or speeches or made demands of them. Of all those who have served as faculty representatives, only one has reported back to the faculty at the end of his term of office. . . . Only once . . . did the faculty representatives go as a group to discuss an issue with the president. . . .[1]

Summing up, Marcham's conclusion about faculty trusteeship was that "standing alone and in its present form, faculty representation on the board of trustees is and must remain a symbol of cooperation in a system of government where consultation has been reduced to a minimum and cooperation, in the sense of working together toward a common goal, has little meaning."[2]

Marcham was not opposed to faculty representation on the board of Cornell, and, at the same time, he was not particularly pleased with it. He did not like the way it turned out: more form than substance, symbolic of power and cooperation but in reality neither. He revealed a great deal about administrative and board practices at that institutuion which help explain the climate he conveyed: a fluid agenda onto which the president added last minute items, a seemingly powerless board asked to endorse proposals on which the president had already initiated action, no formal opportunity for the faculty representatives to report back to their constituency, insufficient interest on the part of the faculty to create informal opportunities for reporting (except for the noted exception of this AAUP chapter meeting), and a perceived lack of consultation with regard to the formulation of long range plans. These are all matters of concern which would tend to affect the morale of the faculty at any institution, as they seem to have at Cornell. However, they suggest administrative cures rather than major changes in structure or policy. For example, why did not the constituent body which elected the faculty representatives periodically call on them to report? Why did not the faculty representatives solicit the opinions of their colleagues on pending matters? Why did not the president meet with the faculty representatives from time to time to obtain their advice?

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[1] Ibid., p. 619. [2] Ibid., p. 621.

Marcham was not alone in perceiving faculty representation on the Cornell board as a rather empty form. Professor Black, who preceded Marcham at the meeting, observed:

> Nothing would, in general, do more to maintain good relations between faculty and trustees, I believe, than machinery by which the faculty position on important issues might be fully, explicitly, and persuasively presented to the trustees. Whether our present arrangements in this regard are fully adequate I rather doubt.[1]

Professor Winter, following Marcham, expressed a similar opinion: that the faculty representatives--acting as individuals and with a limited view of the institution as a whole--did not constitute a satisfactory means of communication between the faculty and the board. He suggested that in lieu of faculty representation the dean of faculty, having the best overall perspective and being in the best position to judge academic issues, should be consulted regularly by the board on educational or academic matters.[2]

Summary of Arguments Against Faculty Trusteeship

The Public Interest.--The principal argument against faculty representation on governing boards is derived from the concept that the function of these boards is to represent the public interest. This traditional concept, the origins of which were discussed in Chapter I, is that since the institution has a public charter, is supported by public funds (raised either through gifts or by taxation), and teaches the children of the public, it requires a governing board composed of "representatives of the public." "Public" trustees, under this concept, must be "disinterested," i.e., unaffiliated with the institution in any other capacity, because it is their role to sit in judgment over all matters including personnel. Holders of this concept are not unmindful of the tradition of lay boards which exist in other American social institutions--notably hospitals, libraries, and public schools. Most of the opponents of faculty participation have held this concept and have seen faculty service on a governing board as creating a conflict of interest for the individual so serving and as subverting the public's legitimate interest. The other arguments against faculty participation on the governing board derive much of their validity from the assumption that governing boards should fulfill a public function and should therefore be as free as possible from vested interests.

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[1] Black, "Academic Government," 615-16.

[2] Winter, "Faculty-Trustee Communications," 623.

Campus Politics.--An argument often advanced against faculty representation on the governing board is that it would inevitably lead to factiousness, "log rolling," and an increase in faculty politics. A variation of this argument is that the faculty representative would act from personal and selfish motives or in the interest of his particular department, division, or clique. It is both unseemly and illogical to ask a man to decide on his own salary or pass on the many other matters which properly come to a board's attention. Having one or more individual members of the faculty serving on a board would merely create suspicions and uneasiness in the minds of faculty from other units of the institution. Were such a representative to attempt to ally such suspicions by reporting openly to the faculty on the confidential and delicate matters discussed by the board, he would only magnify the problem and render the board incapable of performing its necessary work.

Syndicalism.--A third major argument against faculty representation on a governing board is that it is not democratic as it may seem to some, but syndicalistic. The control of a profession or an institution by the people in it leads to narrowness, conservatism, rigidity, and lack of harmony with the public interest. Many of this persuasion believe that faculty already play too dominant a role in the control of colleges and universities and in the determination of academic policies. Some have questioned the tenure system as putting the faculty beyond public interest and public control, to the point where they cannot be held accountable. The tradition of lay governance needs to be strengthened rather than further compromised in this view. Even if the faculty were in a minority on the board, they would come to dominate crucial decisions. As "insiders" their effectiveness would be magnified in comparison to that of the public trustee.

Bad Administration.--A fourth argument against changing the traditional concept of the lay board is that to do so would be bad from the point of view of administrative theory. This theory holds that an organization should have a single chief executive, a president, who can be held accountable and to whom all other members of the staff should report. Some students of administrative theory argue that even the president should not be a voting member of the board because otherwise he cannot be held accountable to it. This argument contends that having faculty members serve on a board detracts from the president's authority and blurs the lines of jurisdiction and responsibility. Particular difficulty would be encountered, it is suggested, if the faculty trustee opposed the president on an issue within the board. In such an impasse a failure on the part of the public members to support the faculty position might be construed as an infringement on academic freedom. On the other hand, failure to support the president would suggest a lack of confidence in the chief executive.

Lack of Aptitude.--Another argument advanced against faculty trusteeship is that different aptitudes are required for scholarship and for administration and that these are rarely found in abundance in the same person. To turn over administrative, business, and financial matters to scholars, whose virtues of contemplation and erudition preclude practical wisdom and the ability to make swift decisions, would be to court disaster. Moreover, to engage scholars in the business of governing the university would cause them to take time away from their research and teaching, matters for which they are better suited and better prepared. A faculty representative is apt to be ineffective as a trustee both by virtue of his lack of wordly wisdom and practical acumen and by virtue of his lack of wealth or wealthy contacts.

The Extent of Faculty Representation on Governing Boards

Various Forms of Faculty Representation

There are various ways by which faculty representation on a governing board can be achieved. These may be conceptualized in terms of the level of democracy or egalitarianism they represent. On the one extreme, a board itself might nominate and elect a faculty member (perhaps someone from another institution) to meet with one of its committees in an advisory capacity. At the other end of the continuum is the representative who has been elected by the faculty and sits as a full voting member of the board, participating in its various committees, including the executive committee. Some of the various intervening forms include

- faculty member(s), elected by the board, without vote;
- faculty member(s), elected by the board, with vote;
- representative(s), elected by the faculty from outside the faculty, with or without vote;
- faculty nominated representative(s), elected by the board, with or without vote;
- faculty elected observer(s) on the board or on board committees;
- faculty elected representative(s) without vote;
- faculty elected representative(s) with vote.

An instance of one of these intermediate forms is the election, in recent years, by the Board of Trustees of the University of Chicago of the president and a member of the faculty of that institution to membership on the board. Another intermediate pattern is exemplified in the election of a member of the faculty of the Univesity of Chicago to the board of another major university by the trustees of that institution.

Roosevelt University Pattern

The arrangement for faculty representation on the governing board at Roosevelt Univesity is of the most democratic, the least common, and, therefore, the most controversial, type. Several--currently seven--representatives, elected by the Faculty Senate without subject to confirmation or ratification by the Board, sit on the Board as full voting members. Since 1951, the Executive Committee of the Board has included two of these elected faculty representatives on a body of nine or ten members.

Because Roosevelt University's pattern of governance is at the democratic end of the continuum of ways in which faculty representation can be achieved, this portion of this paper, which is concerned with identifying other institutions which have adopted faculty representation on their governing boards, deals primarily with those institutions where there are faculty-elected representatives with full voting privileges. One exception to this, however, is the consideration of Cornell University as the first modern American institution to adopt faculty representation on its governing board. Although these first representatives were not given the power to vote, the historic importance of this example was considerable.

Earliest Faculty Representation: Cornell University

President Jacob Gould Schurman of Cornell University advocated in his annual reports of 1910 and 1912 that faculty elected representatives serve on the board of that institution.[1]

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[1] Morris Bishop, A History of Cornell (Ithaca: Cornell University Press, 1962), p. 354.

He apparently intended these faculty representatives to have full voting power. However, "the laws of New York State forbid a professor to become a trustee of an institution of which he is a member."[1] By 1916, Schurman succeeded in persuading his board to authorize faculty representation, but he did not persuade them to petition the legislature for a change in the law. On April 24, 1916, the trustees of Cornell University adopted the following resolution:

> The University Faculty is authorized and invited to select delegates who shall represent it in the Board of Trustees. Said representatives shall not at any time exceed three in number. They and their successors shall be selected by ballot and for such terms respectively as shall be fixed by the Faculty. They shall have the right to meet with the Board of Trustees and the Committee on General Administration [as the Executive Committee was then called] and shall possess the usual powers of Trustees except the right to vote.[2]

This is probably the first instance in American higher education, after the early colonial period, in which the governing board of an academic institution included faculty representation, albeit non-voting representation. It is not surprising that Cornell University was the pioneer in this mode of governance. It already had an unusual governing board, established with representation from what were regarded as important constituencies and interests and including ex officio, appointive, elective, cooptative, and hereditary members. Bishop, an historian of that institution has referred to the Cornell board as having a "curious composition," as indeed it has.

The fact that the faculty representatives were without vote was of some concern to the faculty, but nothing much was done about it for quite some time. Bishop discussed this matter, observing:

> The faculty, though proud to have had their representatives on the Board and on important committees since 1916,

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[1] Ibid., p. 355.

[2] Cornell University, Amended Statutes, Article VIII, Section 6, quoted in Charles F. Thwing, The College President, p. 51.

> were distressed because their delegates had no vote. Requests for full voting privileges were made in Faculty meetings from 1920 through 1923; a committee of the Board responded that the time was not yet ripe. The agitation resumed in 1933. In the following year the Board replied that it was satisfied with Faculty participation and would in principle welcome the representatives as full-fledged members. It pointed out, however, that the change would require an alteration of the University Charter, and the moment was not propitious for bothering the legislature. The Board proposed to await a favorable occasion. The matter was then laid in abeyance for seventeen years.[1]

It was not until 1956 that the New York State Legislature acted to give voting rights to the faculty representatives on the governing board of Cornell University, making them faculty trustees, in fact, with the same status and privileges as the other trustees.[2]

What came to be known as the "Cornell plan" was non-voting faculty representation. It was emulated by a small number of other institutions. On May 29, 1916, the Board of Directors of Bryn Mawr College adopted a plan giving the faculty the authority to elect a committee of three to attend and take part in the discussions at all meetings of the board.[3] Ripon College in Wisconsin adopted a similar plan at about the same time. Washington and Lee University in Virginia opened its board meetings to members of the faculty.[4] In a number of Catholic colleges, teaching members of the supporting religious communities were specifically designated as trustees.[5]

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[1] Bishop, History of Cornell, p. 462.

[2] Marcham, "Faculty Representation on the Board of Trustees," p. 618, n. 1.

[3] Stephen P. Duggan, "Present Tendencies in College Administration," School and Society, IV, No. 85 (August 12, 1916), 232.

[4] AAUP, "The Place and Function of Faculties in College and University Government," AAUP Bulletin, VI, No. 3 (March, 1920), 45.

[5] Palmer, "College President and His Board," p. 509.

Kirkpatrick, writing in 1929, mentioned three small institutions, so called "labor colleges," no longer in existence, which had faculty participation on their governing boards: Brookwood College in Katonah, New York; Commonwealth College in Mena, Arkansas; and Ashland College in Grant, Michigan.[1] While outside the mainstream of American higher education, these institutions may have been the first to have voting participation by the faculty on their boards.

Also somewhat outside the mainstream of American higher education is the Institute for Advanced Study at Princeton. In 1934 the governing board of that institution elected a faculty member as a trustee with full voting power.[2] This was heralded as unprecedented in American higher education by the Princeton Alumni Weekly which pointed out that the charter of the Institute for Advanced Study provided that as many as three faculty members might be included on a board of fifteen trustees.[3]

The Spread of Faculty Representation

Certainly there was no rush to add faculty representation to the governing boards of American colleges and universities. By the end of World War II only a handful of institutions had attempted this form of governance. In addition to those just mentioned, these institutions included Wellesley College (where the faculty elected one non-faculty member of the board), Antioch College (where the administrative council composed of students, faculty, and administrators elected six out of a total of nineteen trustees), Goddard College, Haverford College,[1] Sarah Lawrence College, and Black Mountain College. By 1961 the AAUP was able to compile a list of twenty-eight institutions with various forms of faculty representation on their boards of trustees.[2] At ten of these institutions the faculty elected their own voting representatives: Bard College, Bryn Mawr College, Cornell University, Dakota Wesleyan University, Haverford College, Lincoln University (Pennsylvania), Luther College, Roosevelt University, Sarah Lawrence College, and The University of the South.

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[1] Kirkpatrick, Force and Freedom in Education, p. 68.

[2] "Trustee--Faculty Relations," School and Society, XXXIX, No. 1015 (June 9, 1934), 757, reprinted from the Princeton Alumni Weekly.

[3] However, lest it seem that he was raising any doubts about the president's ability to represent his faculty, the editor of that organ added: "One fifth of the membership will hardly give the faculty a representative more effective than that now provided in dozens of universities by an energetic president who realizes, as President Dodds has demonstrated he realizes, that his most important function is that of liaison officer between the trustees and the faculty" (ibid.).

Since 1969, considerable public attention has been given to the election of representatives of the faculty as voting members of the governing boards of Coker College (Hartsville, South Carolina),[3] Otterbein College (Westerville, Ohio),[4] and Howard University.[5] At a larger number of institutions faculty members have been added to the board either as non-voting members, as members of committees, or in some other capacity. At a growing number of these institutions students are similarly represented.[1] And recommendations for student and faculty representation have been made, and are pending, at many others.

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[1] For a discussion of the somewhat ambiguous legal situation at Haverford regarding the status of the faculty representatives on the board see Charles P. Dennison, Faculty Rights and Obligations in Eight Independent Liberal Arts Colleges (New York: Teachers College, Columbia University, Bureau of Publications, 1955), pp. 90-91.

[2] AAUP, "Faculty Representation on Boards of Trustees," Prepared from Institutional data sheets on file in the Washington Office, 1961. (Mimeographed.)

[3] "Three Institutions Pick Students as Trustees," Chronicle of Higher Education, June 16, 1969, p. 12.

[4] "Ohio College Puts Students on Board of Trustees," New York Times, June 8, 1970, p. 40.

[5] "Students Get Trustee Role at Howard," Washington Post, November 18, 1969, p. cl.

Summary and Discussion

There has been a debate in the higher education literature going back to the beginning of this century and before as to whether or not the faculty of a college or university should be represented on the institution's governing board. This debate was initiated by university professors like Cattell who, having grown in importance and prestige, were impatient over their lack of participation in the governance of the institution. These men saw themselves as disenfranchised and exploited. They were critical of a governing structure they saw as under the control of business executives who had little understanding of, or appreciation for, academic matters, particularly academic freedom.

Although their organization, the AAUP, shied away from endorsing faculty representation on governing boards as the solution to this problem, many individual faculty were less timid. Here and there they were joined by administrators who endorsed such representation, possibly out of a belief that the president needed academic allies in dealing with a lay board. Some critics were eager to see broader representation from a number of social groups (including faculty) typically not found on such boards; a few of the more zealous advocated complete control of the governing board by faculty, or by students and faculty; others were content to recommend the addition of one or more faculty members on an existing board. However, advocacy of faculty trusteeship remained a minority opinion in all sectors of higher education, particularly among lay trustees. Recently, there has been an increase in support for this position among college and university faculty as well as among governing board members.

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[1] As has been observed, student representation has preceeded faculty representation at a number of institutions; at others they have been brought about simultaneously as the result of student demands and agitation.

Those who have opposed faculty representation on the board have had both the force of tradition and the weight of current practice on their side. They have opposed faculty representation primarily on the grounds that governing boards are supposed to represent the public and be composed of disinterested laymen. Faculty service on a governing board, in their view, represents a clear conflict of interest. Other arguments against faculty representation include the concern that such representation would stimulate campus politics unhealthfully and lead to factiousness; the belief that faculty trusteeship would be both syndicalistic and bad administrative policy, and the opinion that, generally speaking, faculty lack the aptitude and acumen necessary to govern the institution.

Starting with Cornell University in 1916, a small handful of institutions experimented with faculty representation on their governing boards. Most institutions responded to faculty demands for participation in governance in other ways. Public trustees and alumni, unwilling to relinquish ultimate control, nonetheless increasingly delegated to the faculty the right to handle academic matters. Many institutions thus developed a dual system of governance with the board acting on fiscal and budgetary matters and the president and faculty responsible for the curriculum and, in quiet times, for student discipline. The system of lay governance was thus weakened but preserved. The agitation for faculty participation on governing boards diminished and was replaced by a concern for power vis-à-vis the administration in matters of internal governance.

The social turbulence of recent years coupled with a malaise on the part of junior faculty and an insistence by students for representation, has rekindled the interest of faculty in gaining representation on governing boards. A number of institutions have accommodated this desire for representation by implementing various forms of participation. Many other institutions are currently considering this matter or are evaluating proposals from student or faculty groups.

Little has been written by anyone who has experienced or participated in faculty representation on a college or university governing board. One article, written in 1956 by a faculty representative on the Board of Trustees of Cornell University, prior to the time those representatives were given the power to vote, evaluated that author's experience during five years as a trustee. He expressed disillusionment with the practice as containing more form than substance. He saw his participation as a faculty representative on the board as a symbol of cooperation but as relatively meaningless in terms of real participation in planning and policy making. Similar comments from other members of the Cornell University faculty suggest that, at least at one institution with faculty trustees, the experience of participants did not substantiate the expectations of advocates, even if it did not bear out the predictions of critics.

PART III

FACULTY TRUSTEESHIP AT ROOSEVELT UNIVERSITY

Part III of this study is an analysis of the origins of faculty membership on the Board of Trustees of Roosevelt University, the experience of this membership during the twenty-five year period from 1945 (the year of the institution's founding) to 1970, and how this mode of governance functioned during two crises which shook the University and its Board.

CHAPTER IV

THE ORIGINS OF FACULTY TRUSTEESHIP AT ROOSEVELT UNIVERSITY

When Roosevelt College was founded in 1945, the faculty were authorized to elect from their number one-fourth of the membership of the governing board. To understand why this mode of governance was adopted and the expectations of its founders with regard to it, it is necessary to examine the origins and antecedents of the institution itself as well as the specific situation that gave rise to its founding. Moreover, since the governing board of Roosevelt College was designed to be free of the defects thought to be inherent in the governing structure of its predecessor, Central YMCA College, in downtown Chicago, it is necessary to inquire into the nature of the governing structure of that institution.

Central YMCA College

Roosevelt College grew out of a schism between the president, faculty and administration of the Central YMCA College and the governing board of that institution. That split, which was an important determinant in the character of the new institution, Roosevelt College, had been developing for some time. In some respects its origins and the consequent dissolution of Central YMCA College appear to have been inherent in that institution from the start.

The YMCA did not set out to establish a college in Chicago. In response to student needs and faculty pressures, it just grew. It grew out of an unstructured and informal assortment of elementary and commercial courses, which, beginning about 1880, were offered by the Chicago YMCA to ambitious young men who sought to use their evenings and free time for edification and self-improvement.[1] These courses were merely one of many informal ways in which the Young Men's Christian Association sought to provide training in Christian character for its membership. These courses were given a subordinate place in the administrative hierarchy of the Y, and were clearly not one of the primary purposes of the Chicago YMCA. This administrative subordination continued, even as the institution grew beyond original expectation, and was, ultimately, one of the factors leading to the split and to the establishment of Roosevelt College.

Starting as an unstructured program of supplementary commercial and technical education for employed young men who could not otherwise have readily obtained training elsewhere, the YMCA schools pioneered in offering urban education to lower-middle-class youth. They were the first institution in the Chicago area to accommodate working students by offering standard, accredited high school and college work on an evening basis.

There was a strong need in an urban setting for an unpretentious and inexpensive institution in which immigrants and sons of immigrants could extend their schooling. The initial handful of unrelated courses led to the establishment of elementary and secondary schools in about 1900, and later, in 1919, to the

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[1] Much of the material that follows regarding the early history of the institution that became Central YMCA College is dependent upon Frederick Roger Dunn's "The Central YMCA Schools of Chicago: A Study in Urban History" (unpublished Ph. D. dissertation, Department of History, The University of Chicago, 1940). This history is also reviewed by George A. Works in his "Report on Central YMCA College, Chicago, Illinois," May, 1943, and by Harry Barnard in "Trailblazer of an Era: The Story in Profile of Roosevelt University," [1963], (Typewritten MS). That certain elements in this history were parallel to the history of colleges established by the YMCA in other cities was identified by John W. Bouseman in "The Pulled-Away College: A Study of the Separation of Colleges from the Young Men's Christian Association" (unpublished Ph. D. dissertation, Department of Education, The University of Chicago, 1970).

Central YMCA School of Commerce and the Central YMCA School of Liberal Arts and Sciences in which courses were offered for college credit. These two collegiate schools were accredited as junior colleges by the North Central Association in 1924. Although founded as evening colleges with rather special and limited aspirations they soon attracted a teaching faculty, librarians, and an administrative staff which held aspirations and ambitions for themselves and for the institution of which they were a part which were like those of academicians elsewhere in the United States. The faculty formed a cadre which pushed for growth, reform and secularization against an often reluctant governing board which saw these changes as costly and questionable diversions from the institution's central purpose.

There were efforts made by the faculty and administration, some of which were supported by members of the Board of Directors, to get the YMCA to make the colleges four-year institutions, to make them coeducational, to drop the YMCA identification from their name, to offer day as well as evening classes, and in various other ways, to enable them to become standard American colleges. In 1931, Floyd W. Reeves and Aaron J. Brumbaugh, two of the country's foremost authorities on higher education who were then on the faculty of the neighboring University of Chicago, were appointed to conduct a survey of the colleges with regard to whether they should become four-year institutions, and if so, to recommend what steps should be taken to secure accreditation. Reeves and Brumbaugh advised that the institutions move toward four-year status by initially adding a third year. They also suggested a number of administrative changes to make the institutions more independent and autonomous and, in their opinion, more likely to receive accreditation.[1]

In 1933 Central YMCA School of Liberal Arts and Sciences was combined with Central YMCA School of Commerce as Central

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[1] F. W. Reeves and A. J. Brumbaugh, "Report of Advisory Committee on the Central YMCA College of Arts and Sciences," presented at a joint meeting of: the Board of Managers and Board of Trustees of the Young Men's Christian Association of Chicago; the Committee on Management, Central Department YMCA; and the Board of Governors, Central YMCA Schools, on May 21, 1931, p. 3.

YMCA College; it became coeducational (initially on a provisional basis) and began offering senior-college work. The college applied for accreditation and, in 1936, after having instituted a number of administrative and organizational changes, was accredited as a senior college by the North Central Association of Colleges and Secondary Schools. It attracted many of the kinds of students who might have attended a state college or university had one existed in the Chicago area.

The growth of Central YMCA College was accompanied by considerable and often bitter struggle. The principal focus of this struggle was between the faculty and administration on the one hand and the YMCA parent body on the other. The former group were determined to upgrade the institution by giving it greater autonomy and a stronger financial base, and by adopting a variety of reforms that would change its status from a subordinate unit of the YMCA to a bona fide member of the community of American colleges and universities. The YMCA, on the other hand, was reluctant to travel this road. It understood its mission to be primarily that of providing informal education of a particular kind: Christian, athletic, evangelic--not formal higher education. A real college had developed almost inadvertently out of an informal series of courses, not as the result of a plan to develop a full collegiate institution. The YMCA was unwilling, however, to relinquish control of the institution it had spawned or to let it find other auspices, just as it was unwilling (or at least disinclined) to give it adequate nurture. As in all such struggles there were inevitable personality clashes as individuals sought more power, authority and status or tried to retain such as they had in the face of what they perceived as efforts to erode, dismantle or take away something they regarded as theirs.

One particularly dramatic episode in this struggle and one that presaged Sparling's revolution a dozen years later was the establishment of the Central College Development Corporation in 1933[1]--a clandestine and desperate scheme to achieve independence for the college from the YMCA. This secret organization was chartered by the state and enlisted virtually every member of the administrative staff and full-time faculty of the college. A secret bank account was established into which was deposited money contributed by the faculty from their salaries. Most made 10 per cent contributions to the fund which was used to buy necessary equipment for the college. It was hoped that the fund would grow sufficiently so that the institution could be bought out from the YMCA.

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[1] Dunn, "Central YMCA," pp. 297-300; also interview with W. A. R. Leys, treasurer of that endeavor, January 8, 1970.

The two individuals who gave leadership to this effort were Emery Balduf, the dean of the School of Liberal Arts and Sciences, and his associate dean, Millard S. Everett. These men had led the struggle for coeducation and for increased autonomy in the early 1930's. In the course of this struggle they had incurred the antagonism of certain of the officers of the YMCA and had become convinced that the interests of the Y and the interests of the college were irreconcilable. That they found such widespread support for their scheme among the faculty testifies to the pervasive alienation and mistrust that had developed between the faculty and the governing board. That men were willing to contribute 10 per cent of their meager academic salaries at the height of the depression testifies to their dedication and determination. That they thought they could keep their enterprise a secret is, perhaps, testimony of their naïveté and perhaps also of their frustration and desperation.

It was unlikely that such a scheme could have long continued without discovery; its chance for success was even less likely. After a year the authorities of the YMCA found out about the activity. Following an investigation and an exchange of charges, Deans Balduf and Everett were relieved of their administrative positions. Two years later their teaching contracts were not renewed. The educational director (president) of the college was demoted to the position of dean. A temporary appointment of educational director of the college was subsequently made to the senior secretary of the United YMCA Schools, T. H. Nelson.[1]

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[1] Nelson had been a national coordinator for all of the YMCA's formal educational activities. To cement the relationship between the Chicago YMCA and Central YMCA College he was given

Nelson was able to bring about certain organizational changes that made accreditation possible and set the stage for a new presidential appointment: Edward James Sparling.

The Central College Development Corporation was an abortive attempt to organize an independent governing structure for Central YMCA College to which it was hoped the YMCA would turn over the college. Sparling made a similar attempt to establish an independent governing structure for Central YMCA College in 1945 before he established Roosevelt College. In each instance it was hoped that a transfer of authority to a new body could be achieved amicably and with the consent of the YMCA. Although ambivalent about the college in many respects, the Y was reluctant to abandon its offspring. Sparling carried through what Balduf only schemed, and in the end, the formation of Roosevelt College and the transfer of students and faculty took place without the consent of the YMCA.

Sparling seemed ideally suited to be the head of a YMCA college. He had a strong Christian background and orientation, an intense commitment to moral principles, was a proponent of physical education and of vigorous good health, and he had a doctorate in student personnel work from Teachers College of Columbia University. His undergraduate education had been taken at Stanford University where he had been assistant college secretary of the YMCA. Between his undergraduate and graduate study he had taught swimming and had done YMCA and social settlement work. Before coming to Chicago, he was the dean of men at Hiram College in Ohio.

Sparling's credentials looked so good from the point of view of the YMCA that they aroused some suspicion and apprehension in other minds. It was feared that he was being brought in to be a foil for the governing board--to return the college to the path of Christian education and to rid the faculty of its

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the concurrent appointment of assistant general secretary of the Chicago YMCA. (See Emmett Dedmon, Great Enterprises: 100 Years of the YMCA of Metropolitan Chicago [Chicago: Rand McNally & Company, 1957], p. 280-81).

pushy, aggressive and disloyal members. For this reason, several of the more liberal members of the governing board resigned to protest their concern that Sparling's appointment meant the end of academic aspirations for the college.[1] Those who resigned at that juncture included Harland H. Allen and Floyd W. Reeves. Both men maintained their interest in an urban college for Chicago and, when contacted by Sparling a decade later, agreed to become founding members of the governing board of the new college.

Emery Balduf also maintained contact with Sparling and the Central Y. In 1945, he became the first dean of students of Roosevelt College.

The Organization of Central YMCA College

Despite the growth over the years of the YMCA's program of education into formal, accredited schools and colleges, and despite certain evolutionary changes and modifications, the administrative structure of the college and its importance in the overall program of the YMCA remained much as before. The faculty and administrative staff felt that insufficient funds, space and administrative support were diverted by the Y to support the Central YMCA College. As the college's programs grew and expanded in response to increased student enrollments and to the skill and energies of its administrators in building a faculty and curriculum, its organizational structure within the hierarchy of the YMCA became more and more anomalous. An example of this subordination may be seen in the structure by which the college was governed.[2]

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[1] Interviews with H. H. Allen, March 9, 1970, and F. W. Reeves, January 12, 1971.

[2] This governing structure is described by Reeves and Brumbaugh in their 1931 report, by Dunn in "Central YMCA," by Works in his 1943 report, and in the ["Report of the Executive Committee of the Faculty of Central YMCA College"] which was made in the Spring of 1945. The latter is an unsigned and untitled mimeographed report prepared by the members of the committee after they decided to take their chances with the new college Sparling was attempting to found. It contains copies of some important letters, speeches, and reports.

The Central YMCA College had a multi-level governing structure that, from the point of view of the college administration, was very unwieldy. The college had a Board of Directors, before 1935 called the Board of Governors, composed of twenty-one members. These laymen were elected by and responsible to the Board of Managers of the YMCA. In this jurisdictional capacity the Board of Managers was known as the College Corporation and was composed of the same men. All actions by the Board of Directors required approval of the Board of Managers. Intermediate between these two bodies was a Committee on College Administration and Policy. This was a committee of the Board of Managers, the members of which became ex officio members of the Board of Directors. The Board of Managers was itself responsible to the Board of Trustees and to the other voting members of the Chicago YMCA by whom it was elected. The voting members of the YMCA were in turn elected by the Board of Managers. There was little or no overlapping membership among these various bodies, except that the general secretary of the Chicago YMCA was customarily elected the executive secretary of the College Corporation (Board of Managers) and, unlike the president, he attended the meetings of both the Corporation and the Board of Directors. The president of the college attended the regular meetings of only the Board of Directors, not the Board of Managers or the Board of Trustees.

This excessively complex governing structure, perhaps appropriate to some of the other activities of the YMCA, deprived the college of an autonomous, flexible and responsive governing board.[1] The rigidities and opportunities for misunderstanding inherent in such a structure had been a source of friction for many years before the final split in 1945. The natural striving for growth and improvement that came from the college faculty and administration had led to a series of conflicts with one or

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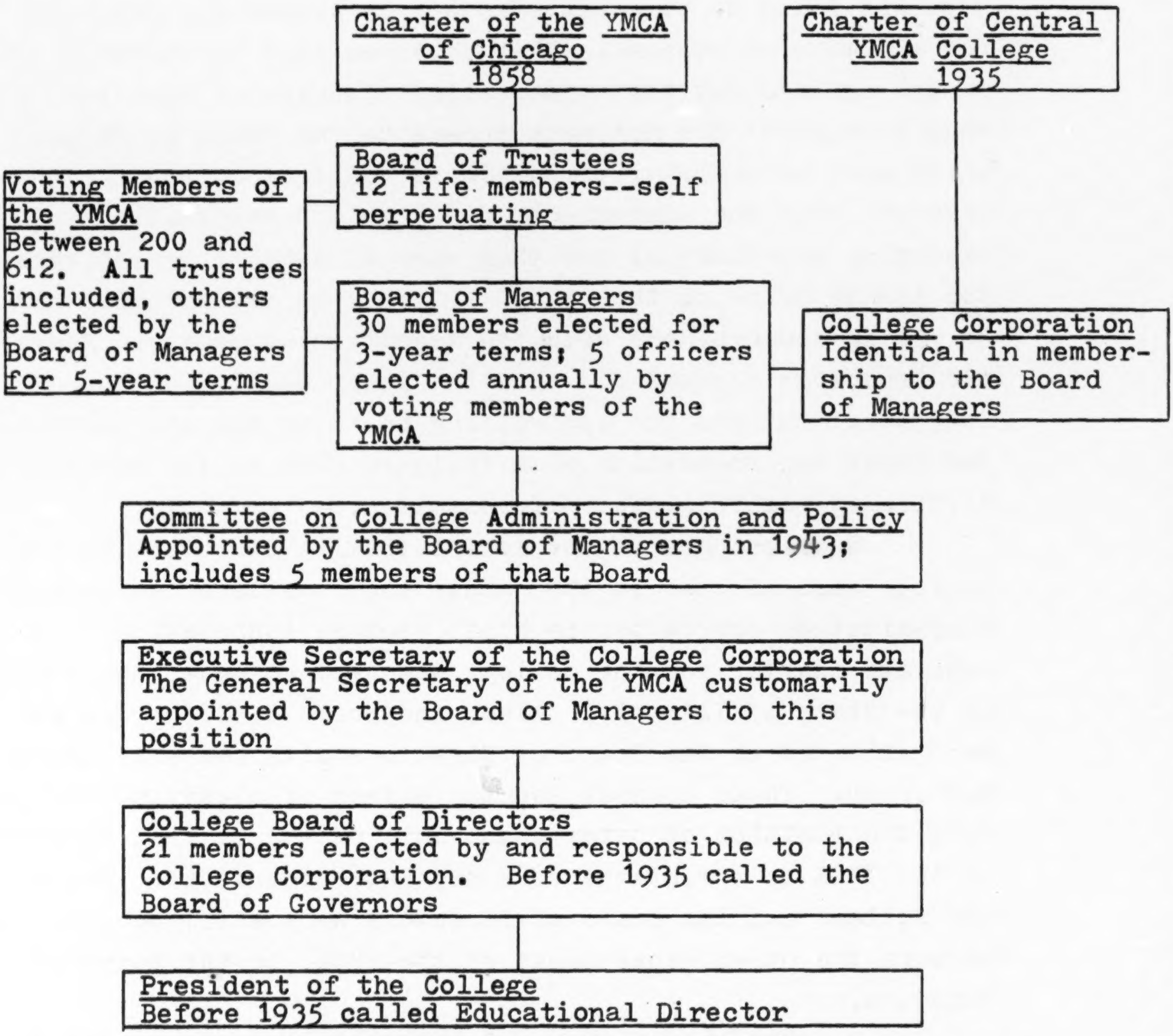
[1] This judgment was shared by members of the college faculty and staff as well as by objective observers, such as Reeves and Brumbaugh, and Works (see their reports of 1931 and 1943, respectively).



Charter of the YMCA of Chicago 1858

Charter of Central YMCA College 1935

Board of Trustees
12 life members--self perpetuating

Voting Members of the YMCA
Between 200 and 612. All trustees included, others elected by the Board of Managers for 5-year terms

Board of Managers
30 members elected for 3-year terms; 5 officers elected annually by voting members of the YMCA

College Corporation
Identical in membership to the Board of Managers

Committee on College Administration and Policy
Appointed by the Board of Managers in 1943; includes 5 members of that Board

Executive Secretary of the College Corporation
The General Secretary of the YMCA customarily appointed by the Board of Managers to this position

College Board of Directors
21 members elected by and responsible to the College Corporation. Before 1935 called the Board of Governors

President of the College
Before 1935 called Educational Director

Fig. 1.--Organization of the YMCA of Chicago and Central YMCA College. Adapted from the Works Report, 1943, p. 1, and the Report of the Executive Committee of the Faculty of Central YMCA College, 1945, p. 1.

another level of the governing structure at least as far back as 1931 when the college first attempted to become an accredited four-year institution. In that year, this organizational structure was found to be unsatisfactory by Reeves and Brumbaugh[1] for a number of reasons. They observed that the academic head of the college (at that time called educational director rather than president) did not have access to the Board of Managers which was, in reality, the ultimate board of control. They also observed that the educational director's subordination to the executive secretary of the YMCA made it awkward or indiscreet for him to bring to the Board of Governors matters about which he was in disagreement with the executive secretary. Reeves and Brumbaugh recommended that the lower board, the Board of Governors, be made the controlling board of the institution. Had their recommendation been followed much of the subsequent difficulty might have been forestalled.

Some changes in the administrative structure of the college were adopted in 1935 under the impetus of an impending accreditation review by the North Central Association.[2] A separate charter for the college was secured under the statutes of the State of Illinois. Also, the Board of Governors was reconstituted as the Board of Directors with somewhat increased authority. These changes had the effect of elevating the college from the position of being a sub-unit of the Central Department of the YMCA to the status of a separate department. Nevertheless, the college and its Board of Directors were still subordinate, as were the other departments of the YMCA, to the Board of Managers.

By 1943 there were again sufficient tensions for the YMCA and the college to feel the need of another professional survey. Accordingly, George A. Works, executive secretary of the North Central Association and dean of students emeritus at the University of Chicago, was engaged to conduct a study of the college. As did Reeves over a decade before, Works criticized the arrangement of the divided boards and stated that "full authority for the control of the institution should be in one body."[1]

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[1] "Report of Advisory Committee."

[2] Dunn, "Central YMCA."

After advising that dual control was unsatisfactory, Works suggested that either "the Board of the College be abolished and the control of the college placed directly in the hands of the Board of Managers" or that the YMCA withdraw from the field of formal education at the college level freeing the college to merge with some other accredited institution or to seek resources wherever else they might be secured. Of the two alternatives, Works favored the second. At that time there would again have been an opportunity for the YMCA to resolve the problem without conflict. But the Y chose not to accept either of Works's recommendations, and the situation continued to deteriorate.

Aggravating this multi-layered governing structure and increasing the occasions for misunderstanding was a basic religious and philosophical disagreement between the faculty and the board. The YMCA had been started with an evangelical and religious emphasis. Although it had moved into secular activities, evangelism was a pervasive spirit, particularly within the governing hierarchy. The college faculty had become increasingly secular and a-religious and did not share this evangelism.[2]

Some of the conflicts between the college faculty and administration and the several governing bodies which were the source of continuing tensions included whether the college should admit women students, whether it should open its physical education facilities to Negro students on an integrated basis, and the amount of subsidization and support which the college had a right to expect from its parent body.[1] The difficulties over financial support were exacerbated by the fact that the college returned funds to the YMCA in the form of rent for the facilities it utilized in the building which was owned by the Y. In 1943 this rent amounted to more than half of the subsidization paid by the Y to the college.[2]

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[1] "Summary of Findings of the Surveys in 1943 and 1945 of Central YMCA College by Dr. George A. Works," p. 1, Roosevelt University Archives.

[2] This source of tension and disagreement was mentioned by Works in this 1943 report as well as by Brumbaugh who had been asked by the Y to evaluate Works's report (Dedmon, Great Enterprises, p. 291).

At the same time that specific grievances and sources of conflict between the Central YMCA College and the Chicago Young Men's Christian Association are identified, it should be pointed out that colleges sponsored by the YMCA in other cities also separated from their parent body so that they might develop their formal academic programs more rapidly and more extensively than could be done under YMCA auspices. Only in Chicago was this separation traumatic.[3]

Specific Grievances Between the President and the Board of Central YMCA

Although Sparling's personal relations with the YMCA authorities were apparently harmonious at first, a series of specific incidents developed during the latter years of his administration of that institution. These incidents took the form of disagreements between Sparling and the college's Board of Directors over various issues. In these situations Sparling reflected both his own views and those of the faculty he represented. Since there were no other members of the faculty or administration on the governing board, Sparling was alone in his defense of college policies and academic freedom. This isolation strongly influenced his ideas with regard to the constituency of the governing board of the institution he was to found.

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[1] Dunn, "Central YMCA;" Works, "Report;" interviews with E. J. Sparling, December 10, 1970, and H. H. Allen, March 9, 1970. See also Wayne A. R. Leys, Report to the Faculty, Minutes of the Faculty Meeting [Central YMCA College], April 9, 1945, pp. 5-8.

[2] At the time of accreditation (1935-36) the YMCA had agreed to provide the college with an annual subsidy of $24,000--although for a time this was reduced to $18,300. The college returned $14,000 of this amount to the General Office of the YMCA in the form of rent (["Report of the Executive Committee of the Faculty of Central YMCA College"], 1945, pp. 4 and 7).

[3] Bouseman identified seventeen colleges which separated and became independent of YMCA sponsorship or affiliation between 1944 and 1967 ("The Pulled-Away College," p. 113). "In most cities [Bouseman states] this was a gradual, peaceful process, but in Chicago it was sudden and revolutionary" (ibid., p. 126).

These controversies included (1) whether the college should admit Japanese and Nisei students who had been compelled to leave "militarized areas" of the United States, (2) whether Negro students could use the physical education facilities on the college premises for which they had been required to pay a fee, (3) whether the college had a right to publish what was thought (in some quarters) to be a controversial booklet on the psychology of prejudice by psychologists Gordon Allport and Henry A. Murray: "ABC's of Scapegoating," (4) whether the college had the right to negotiate a merger with another academic organization whose assets Sparling wished to acquire for Central YMCA College, (5) whether Sparling had the right to address Local 20 of the United Retail, Wholesale, and Department Store Employees Union which was then on strike against Montgomery Ward because of that company's refusal to follow a directive of the War Labor Board, (6) whether Sparling had a right to participate in a variety of liberal community organizations such as the Pan-American Good Neighbor Forum,[1] (7) whether he had the right to request and accept the resignation of his academic dean, (8) whether the college could include "controversial subjects" such as the issues of race and labor in its curriculum, and (9) as a culminating incident, whether the college should establish racial and religious quotas restricting the admission of Negro and Jewish students.[1]

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[1] See Barnard, "Trailblazer of an Era," pp. 24-27, for a discussion of the membership and activities of the Pan-American Good Neighbor Forum.

Sparling's increasingly uncomfortable position vis-à-vis his board was influenced also by the fact that he presided over a rather liberal and democratic faculty. A faculty of remarkably high caliber had been built up over the years by Sparling and his predecessors. They had a good system of internal self-government; there was espirit de corps and a high degree of participation in college affairs.[2] The existence of a strong liberal faculty made the conflicts between Sparling and his more conservative governing board both more likely and less easily resolved.

The Board of Directors of Central YMCA College was composed largely of men of influence and substance, the kind of people often referred to as "the power structure." These were men with a generally conservative perspective. Although the board did include three members of the faculty of the University of Chicago at various times during the 1930's and early '40s--Aaron J. Brumbaugh, Frank N. Freeman, and Floyd W. Reeves--they were in the minority and none of them were on at the time of the crisis in 1944-45.[3] As has been mentioned, Reeves became a founding member of the board of the new institution.

Such was the situation which prevailed at the beginning of February, 1945 when the board, having been challenged by Sparling on a number of issues and, as a consequence, having lost confidence in his ability to direct the type of institution they wished to sponsor, told Sparling his qualifications were not compatible with the requirements of the job, and asked him to seek a new position. Sparling's response was to try to achieve an amicable separation of Central YMCA College from YMCA control.

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[1] Ibid., pp. 28-47; ["Report of the Executive Committee of the Faculty of Central YMCA College"]; and interviews with E. J. Sparling, December 3, 10, 14, 1970, and W. A. R. Leys, January 8, 1971.

[2] Dunn, "Central YMCA." Interviews with Joseph Creanza, June 23, 1970; Dalai Brenes, April 18, 1970; and Glenn Wiltsey, April 18, 1970.

[3] Interview with F. W. Reeves, January 12, 1970.

At a meeting of the Central YMCA College Board of Directors held on February 16, 1945, Sparling made a long report in which he reviewed the history of the college.[1] He discussed how the college had grown beyond the original expectations of the YMCA, he reviewed the administrative difficulties which had existed since the 1930's, he suggested that the type of control and governing structure which was appropriate for other units of the YMCA was inappropriate to a college where academic freedom required the delegation of authority to the faculty, especially on matters of curriculum. Sparling pointed out that on various occasions in the past the YMCA had "passed a torch of service to other sponsors." He reminded the board that this had been the recommendation of the report by George Works which had been made at the request of the Board of Directors in 1943. He concluded by making a strong plea that the YMCA withdraw from the arena of formal education at the college level and turn the institution over to a new governing board of civic leaders, to be recruited by Sparling, who would be willing to support the type of institution that he and the faculty envisaged.

At the end of February and during March of that year there were a number of meetings between Sparling and certain community leaders, and between these people and the Central YMCA College Board, in which the possibility of a transfer of control was discussed.[2] When it became apparent that this would be unacceptable to the YMCA, Sparling moved to establish a new college.[3] On

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[1] This report is included in the ["Report of the Executive Committee of the Faculty of Central YMCA College," 1945], pp. 36-41.

[2] Wayne A. R. Leys, chronological notes maintained on a day-to-day basis during the period from February 7, 1945 to April 26, 1945, Roosevelt University Archives.

[3] Bouseman is incorrect in stating that Sparling's move to establish a new college came before his run-in with the Board

April 17, 1945, he submitted his resignation as president of Central YMCA College[1] and applied for the charter to establish Thomas Jefferson College. Eight days later (on April 25, 1945), the founding board of the new college met to elect Sparling president and Edwin R. Embree, president of the Julius Rosenwald Fund, chairman of the board.[2]

The faculty, most of whom had been on Sparling's side during the various controversies that had come before, also sided with him during this crucial show-down with the board. When Sparling had hopes of an amicable separation under the auspices of a new governing board, the faculty voted in favor of such a separation.[3] When it became evident that an agreement with the Y could not be worked out and that Sparling's course was to resign and start a new institution, the faculty voted "no confidence" in the Board of Directors,[4] and, on the next day, April 24, 1945, announced their resignations from Central YMCA College. In all, sixty-eight full and part-time members of the faculty and administrative staff resigned from the Y College. This was 64 per cent of the total. The percentage of full-time faculty opting for the new institution was even higher: 70 per cent. The few holdouts were mostly among the part-time instructors in the School of Commerce.[5] At a mass

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on the issue of continuing the unrestricted admission of Negro and Jewish students ("The Pulled-Away College," p. 182, n. 2).

[1] The text of this resignation is contained in the (unsigned and untitled) ["Report of the Executive Committee of the Faculty of Central YMCA College," 1945] (copy in the Roosevelt University Archives).

[2] Minutes of the Roosevelt College Board of Directors, April 25, 1945.

[3] Minutes of the Faculty Meeting [Central YMCA College], April 9, 1945, p. 4.

[4] Minutes of the Faculty Meeting [Central YMCA College], April 23, 1945, pp. 3-6.

[5] ["Report of the Executive Committee"], p. 16.

meeting on the following day, the students voted overwhelmingly in support of a resolution similar to the faculty's expressing support for the new institution and intent to leave the old.[1]

This act of mass resignation by the faculty becomes more significant when it is realized that there was as yet no alternative institution in existence. These men and women, who were not themselves individually "on-the-line" as Sparling was, gave up secure positions with an on-going institution which appeared to have every intention of continuing to function without Sparling's services. Thomas Jefferson College[2] was merely an idea, a dream. Although Sparling had aroused some enthusiasm for his idea from Marshall Field III and from Edwin Embree, each of whom pledged $75,000 to support the college, neither was willing to endow the new institution. At the time the faculty resignations were announced, the new college consisted of a $10 charter paid for by Sparling, a small rented office with a desk for Sparling, and the goodwill and support of six founding trustees. The institution had no students, no faculty, no curriculum, no building or equipment, no library, no accreditation and no endowment. In fact it had none of the assets which are traditionally necessary to found a college, except, of course, self-confidence and belief in an idea. The resignations by the faculty in support of Sparling were an act of faith.[3] It was an act which had a tremendous influence on Sparling's concept of how the new institution should be governed.

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[1] Leys, chronological notes.

[2] The name Thomas Jefferson had been chosen to symbolize academic and personal freedom and democratic participation in government. However, some, like Reeves, were concerned that the institution not be confused with certain quite radical institutions in New York with the same or similar names. After Franklin D. Roosevelt's death on April 12, 1945, it seemed appropriate to many that the new college, conceived in the spirit of democracy, be named after him (interview with F. W. Reeves, January 12, 1971). Accordingly, at the second meeting of its governing board, on April 25, 1945, the name of the institution was changed to Roosevelt College of Chicago.

[3] Although support from Field and Embree had been promised and early accreditation seemed a possibility, these had not yet materialized at the time of the resignations (interview with W. A. R. Leys, January 8, 1971).

There were a number of reasons why Sparling's bold action triggered such a strong response by the faculty. In the first place, he was a dynamic and charismatic leader whose intrepid position against the authorities of the YMCA, who were among the power elite of the city, was seen as an attack against racism and a defense of academic freedom. Second, there had been a variety of small frustrations and grievances building up in the faculty during the war years, aggravated by the stringencies and shortages of that period. Now that the war was nearing an end, there was a mood of optimism that made the promise of a new order, a new freedom, and a new abundance seem possible. Third, there was strong espirit de corps among the faculty of Central YMCA College, in large measure owing to the internal self-government which Sparling had nurtured. Once the leaders of this faculty government, the Executive Committee of the Faculty, were committed, most of the rest of the faculty could also be convinced. One individual crucial in organizing the support of the faculty behind the new college was the dean of the college, Wayne A. R. Leys. Leys, formerly chairman of the Philosophy Department, enjoyed the support and respect of many in the faculty. His decision to stand with Sparling, rather than to accept the acting presidency which was offered him by the Board, was a powerful influence in retaining so much of the faculty structure intact in the new college.[1] Finally, the faculty were persuaded by assurances of greater support for the new college than there had been for Central YMCA College. Interest expressed by Marshall Field III and by the Rosenwald Foundation in supporting the new institution was regarded as the first gush of what was hoped would be a fount of "liberal money" which could be tapped and made to flow into the new institution. Subsequently, $75,000 was received from Marshall Field and $90,000 from the Rosenwald Foundation.[2]

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[1] Interviews with E. J. Sparling, December 10 and 14, 1970, and W. A. R. Leys, January 8, 1971.

[2] President's Report, Minutes of the Faculty Meeting, Roosevelt College, January 21, 1946, p. 1.

These contributions were vital to the founding of Roosevelt College, making possible the purchase of a building and equipment and the hiring of faculty so that classes could open in the fall.

The initial reaction of the Board of Governors of Central YMCA College to Sparling's decision to resign and start a new college was to appoint an acting president (Walter D. Gilliland) and continue the operations of the college as before. In an attempt to hold the faculty together an unprecedented meeting was held on April 16, 1945, between a committee of the Board of Governors and the Executive Committee of the Faculty.[1] The members of the Board of Governors professed to be unaware of any grievances outstanding between the faculty and the board, assured the faculty that reforms and changes would be made, and suggested that the faculty submit a bill of particulars outlining their specific grievances and suggestions for changes.

A bill of particulars addressed to the Board of Directors was drafted and adopted by the Executive Committee of the Faculty on April 18.[2] It was to have been submitted to the entire faculty at a meeting on April 23, and, thus endorsed, sent on to the Board of Directors. This bill of particulars was a rather strong document enumerating the previous occasions on which faculty grievances had been called to the board's attention and listing a number of specific changes that would have to be instituted immediately if the faculty was to have its confidence in the board restored. But events were to move more swiftly. Rather than adopt the bill of particulars, the faculty adopted Dean Leys's proposal for a "no confidence resolution," which said, in part, ". . . and be it further resolved that a Bill of Particulars should not be addressed to a Board in whom the Faculty has no confidence and with whom it is, therefore, unwilling to negotiate."[1]

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[1] ["Report of the Executive Committee"]; Leys, chronological notes.

[2] "Bill of Particulars Advanced for Sound Development of the Program of Central YMCA College, adopted by the Executive Committee of the Faculty, April 18, 1945, for presentation to the Faculty, April 23, 1945," Roosevelt University Archives.

Although this bill of particulars was never officially adopted by the faculty and was not delivered, it is of interest to this study because it contained the first explicit mention of the idea that faculty representatives should be elected to the board of control as a way of eliminating or solving the kinds of problems which had arisen in the past. The bill of particulars offered the Board of Directors two alternatives: either the board, retaining control of the college, should separate itself from the YMCA structure so that it would be an independent governing board, or the board should "transfer the College to the control of another body which has no historical connections with the YMCA." The bill of particulars specified that in either case "three members of the College Board should be elected by and from the faculty."[2]

In attempting to hold the College together after the mass resignation of faculty and students, the Board of Directors acquiesced to this demand and authorized three members of the faculty to serve as full voting members of the Board of Directors. The board explained that these three faculty members were "ultimately to be elected by the faculty as a whole," but that as an interim measure they would be chosen by the acting president.[3] It is not known whether the three members of the faculty named at that time actually met with the board for the remainder of its sessions, but presumably they did.

Although the Board of Directors gave assurances that faculty contracts would be awarded for the following year and that the college would go on under the auspices of the YMCA as before,[1] this was not to happen. A committee of distinguished Chicago-area educators was appointed to advise the YMCA what to do about its college. This committee was chaired by George Works who had prepared the comprehensive survey two years earlier. The principal recommendation of the committee, whose report was submitted in May, 1945, was that the Young Men's Christian Association of Chicago "should adopt the recommendation that grew out of the survey made two years ago and withdraw as promptly as it can from the field of formally organized, accredited higher education."[2] The YMCA and the Board of Directors accepted this decision and the college did not re-open in the fall.

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[1] Minutes of the Faculty Meeting [Central YMCA College], April 23, 1945, p. 3.

[2] "Bill of Particulars."

[3] News release issued by the Public Relations Service on behalf of the Board of Directors of Central YMCA College subsequent to the April 26, 1945 meeting of the Board, n.d., Roosevelt University Archives.

The committee added to its report that since "the Board of Directors of Central YMCA College lacked confidence in the leadership that has been proposed for the new college . . . it would be derelict in its duties if it went into a merger" with the newly created Roosevelt College.[3] The YMCA accepted this admonition and the new college was thrown on to its own resources from the beginning.

The Beginnings of the Roosevelt College Board

The founding board which gave Sparling the encouragement to go ahead with his idea of establishing a new and independent college was composed of an unusual group of men. In addition to Sparling, the original board included the following six individuals: Harland H. Allen, Edwin R. Embree, Percy L. Julian, Leo A. Lerner, John E. McGrath, and Floyd W. Reeves.[4] Harland Allen, who had done graduate study in economics at the University of Chicago, had been dean of commerce at Oklahoma State College and had served on the faculty of the University of Illinois; he had worked as a financial analyst, had started his own investment firm and mutual fund, and was very much involved with the cooperative movement during the 1930's and '40's. He had been on the board of Central YMCA College in the early '30's, resigning just before Sparling assumed the presidency in 1936. Edwin Embree was an eminent sociologist formerly on the faculty of Yale University; he had been vice-president of the Rockefeller Foundation before becoming president of the Julius Rosenwald Fund. This fund, under the mandate of its benefactor, was devoted to providing opportunities for Negroes and to eliminating "Jim Crow" segregation and discrimination. Percy Julian, a Negro chemist who had earned a Ph. D. degree at the University of Vienna, had achieved considerable distinction for his scientific accomplishments and civic work. Leo Lerner was the publisher of a chain of independent neighborhood newspapers, and was a leader in community affairs; he had served as president of the Independent Voters of Illinois, president of the Chicago Citizens School Committee, and had been a member of the Board of Directors of the Chicago Public Library. John McGrath was a reporter and editor of the Chicago Sun newspaper and represented Marshall Field III on the board. (A year later Field agreed to serve on the board himself.) Finally, Floyd Reeves, a member of the faculty of the Department of Education of the University of Chicago, one of the country's pre-eminent authorities on higher education, and like Allen, a former member of the board of Central YMCA College, agreed to serve as a founding trustee.

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[1] Ibid.

[2] George A. Works, Henry T. Heald, Raymond B. Allen, S. A. Hamrin, and Emery T. Filbey, "The Chicago YMCA Program of Education," 1945, p. 1, Roosevelt University Archives.

[3] Ibid., p. 2.

[4] Biographical notes on each of the trustees were published in the first issue of the student newspaper: Roosevelt College News, I, No. 1 (September 28, 1945); other information comes from personal interviews and files in the Office of the President, Roosevelt University.

This was an unusual group of trustees, particularly able to understand the needs and aspirations of an academic institution of the sort proposed by Sparling. Four of the seven held Ph. D. degrees and a fifth had done graduate study and had held several academic positions. They represented wealth, community leadership, and racial equality. They were idealists who were willing to risk fortune and reputation to back the embryonic college. Although these men were laymen in the sense that they were not part of the college faculty, they were by education, personality, and profession sympathetic to the involvement of faculty in institutional governance.

Sparling, in some cases with Leys, contacted these men during the Spring of 1945 and discussed with them his ideas for the new college and the type of governing structure it should have. One of the principal elements of this structure was that the faculty was to elect its own representatives on the board. Although first explicitly mentioned in the bill of particulars written by the Executive Committee of the Faculty, the genesis of the idea is attributed to Sparling.[1]

Faculty representation on the board was but one element in Sparling's plan for the new college. Since the college was being planned de novo it was to be as ideal and as democratic as possible. Democracy was a central concept in the plan for the new college because the difficulties in the old college were attributed to a lack of democracy. In part this was in keeping with the mood of the day that attributed the causes of World War II to the failure of Germany and Japan in not having achieved democratic government. Just as the liberating armies were to bring democracy to these nations, so the new college would bring democracy to higher education in Chicago.

Sparling believed that one of the causes of his difficulty with the governing board of Central YMCA College was the similarity of background and point of view of the members of that board and the divergence of this background from that of the faculty and of the various constituents served by the college. Moreover, he questioned whether a college, which is composed essentially of faculty members and their students, should be under the control of laymen. He envisaged a board representative of a large number of groups in society, whose various self-interests thus would be neutralized or would balance each other out, with a majority of the board elected by the faculty from their own number.[1] Including the president as an ex officio member, academic personnel were to constitute 51 per cent of the board membership. He saw such a board as including men and women of different races, religions, occupations and political persuasions. There would be "representatives" of labor as well as management, Catholics and Jews as well as Protestants, Democrats as well as Republicans, Negroes as well as whites, and so on.

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[1] Interviews with E. J. Sparling, December 3, 10, 14, 1970; W. A. R. Leys, January 8, 1970; J. Creanza, June 23, 1970; and H. Johnson, April 8, 1970. Balduf recalls the idea having been discussed during the "abortive revolution" in the early 1930's (interview, May 7, 1971).

Although it may not have been fully articulated at the time, it was clear to Sparling and to the others with whom he talked that in suggesting the board have a "respresentative" of labor (for example), it was not intended that the labor unions elect a representative; rather, a man elected by the board from the field of labor, would "represent" labor in the sense that his orientation and background would imply certain commitments and ways of thinking which were presumably similar to those of other members of the labor movement.[2] The one notable exception to this procedure was to be with the faculty "representatives." It was assumed by Sparling from the start, as by the others who accepted his idea, that the faculty alone among the various groups would elect its own representatives. This was the "democratic method," and no alternative method of obtaining the service of faculty on the governing board ever really was considered.

Embree, chairman of the new Board, issued the following statement:

> This college embodies the democratic principles to which President Roosevelt gave his life--the four freedoms in action. The Roosevelt College of

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[1] "The idea being that no one of these groups could ever then dominate or influence the total group with respect to their own biases, partisanships, or convictions" (interview with E. J. Sparling, December 10 and 14, 1970).

[2] This was later made explicit by the Board (see the Minutes of the Roosevelt College Board of Directors, July 26, 1945).

> Chicago will practice no discrimination in students or faculty and no restriction of class or party line in its teaching or research. Faculty and community will be represented equally on the Board of Directors. This is the honored concept of a college as a self-governing assembly of scholars.[1]

There were two exceptions to the otherwise total support for this plan; these came, curiously, from academic sources. The man who was probably the country's foremost authority on the administration of higher education and who had enthusiastically agreed to help nurture the new college by assuming a place on its board, Floyd W. Reeves, was strongly opposed to having any faculty serve on the Board. He tried hard over a period of a number of months to dissuade Sparling from this idea. Reeves was convinced that faculty on the Board would represent a detrimental conflict of interest, "A man cannot be, or share in being, his own boss" he said repeatedly.[2] But Sparling was not an easy man to dissuade once he had made up his mind on a matter and was convinced of the moral virtue of a position or idea. Despite Reeves's predictions of dire consequences which would befall an institution governed by a board which included elected faculty representatives, the plan to do just that was implemented.[3]

The only other challenge to Sparling's plan to have a board in which a majority of the membership was composed of elected faculty representatives and the president came from the faculty itself, particularly from certain faculty leaders. These faculty members were apprehensive about occupying too many positions on the board.[1] They were aware of the European tradition of faculty self-governance and were enthusiastic about having a share in the government of the new institution. However, they saw the primary role of a governing board of an American college to be one of fund raising and providing financial support. They reasoned that carefully selected lay trustees would be in a better position than they to raise or contribute funds. Rather than adopt Sparling's offer of a majority on the governing board they opted for a reduced, but still significant, role in hopes that the remaining positions would be filled by wealthier and more influential men than they. There was some reluctance, nonetheless, to relinquish academic control to a lay board, however broadly representative. The solution to this problem which was worked out by Leys and other faculty leaders was to circumscribe the powers of the board and delegate to the president and the faculty final authority on curriculum, personnel, and other issues which had been troublesome at Central YMCA College.[2]

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[1] Roosevelt College News, I, No. 1 (September 28, 1945), 2.

[2] Interviews with F. W. Reeves, January 12, 1970, and E. J. Sparling, December 10, 1970.

[3] Reeves was not only in favor of a lay governing board for Roosevelt College but recommended giving that board more authority in academic and personnel matters than was ultimately agreed upon. For example, he suggested to Sparling that the "Board should retain final approval of persons with tenure . . . " (Sparling's notes on a meeting with Reeves held on July 28, 1945 at which time they discussed the proposed organizational structure of the new college, President's Office files).

The specific provisions to accomplish this solution were not thought out all at one time, but evolved over the course of the Spring, Summer, and early Fall of 1945 as the Bylaws and the Constitution were written and debated.[3] Representatives of the faculty participated with the governing board of the new college from the very beginning, even before the exact provisions for their authority had been fully worked out and enacted. It was understood from the start that these representatives were to play a role on the new board.

The first organizational meeting of the Board of the new college, held on April 14, 1945, before Sparling's formal resignation from the presidency of Central YMCA College, and before the charter for the new college had been applied for, was attended by three members of the faculty (Joseph Creanza, Wayne Leys, and Kendall Taft).[1] One of their number, Wayne Leys, was elected by the Board itself to full membership at its second official meeting on April 25, 1945.[2]

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[1] Interviews with W. A. R. Leys, January 5, 1971; J. Creanza, June 23, 1970; and H. Johnson, April 8, 1970.

[2] See the Roosevelt College Bylaws and the Constitution of the Faculty of Roosevelt College.

[3] See, especially, the Minutes of the Faculty Meeting, Roosevelt College, November 3, 1945.

A week later Leys reported to the future faculty of the new college on the matter of faculty representation on the Board:

> The Board of Directors is assuming that ten of its members will be elected by the Faculty, ten will come from the community, and number twenty-one will be the President. Until August 31st it is probably advisable to postpone the Faculty elections, but Faculty committees operating democratically can make many decisions which will be legalized by the present Board acting for the Faculty.

He went on to add:

> It is an opinion widely shared that a process of natural selection has given us a congenial tough-minded, aggressive organization. There will be many ups and downs. But I believe luck and skill

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[1] Leys, Chronological notes.

[2] Minutes of the Roosevelt College Board of Directors, April 25, 1945. In this respect Leys held a unique position. He was the only member of the faculty ever to be elected by the Board itself, rather than by the faculty. Although in September the faculty elected him as one of its own representatives, he was re-elected by the Board itself in December and the faculty was advised that if it wished it could elect someone else to fill the quota of faculty representatives (President's Report, Minutes of the Faculty Meeting, Roosevelt College, January 21, 1946, p. 2.). There are no other instances of "lay" trustees having been elected by the Board from the faculty, or of lay trustees serving on the faculty at the time they held membership on the Board. Three individuals whose original affiliation with the University was as lay trustees subsequently held positions on the faculty: Harland Allen became dean of the School of Commerce in 1947, Frank McCulloch was appointed director of the Labor Education Division in 1946 (subsequently he was elected by the faculty as one of its board representatives), and Svend Godfredsen was appointed by Sparling to be his assistant in 1955, six years after his resignation from the Board. Of these three, only Harland Allen was re-elected as a public trustee when his staff affiliation was terminated.

are combining to make our general direction sharply up.[1]

A few days later the Roosevelt College Board held its third formal meeting at which time a "motion was made by Leys, seconded by Reeves, and carried that the faculty group be invited to elect four representatives to sit as consultants on the Board of Directors until the first annual board meeting."[2] It was assumed that the "annual meeting" would be held in the fall after the college officially opened and after the Board had had time to get organized, enact Bylaws, and elect its complement of members. Leys's resolution to provide faculty consultants legalized what had been an informal practice from the beginning. At its next meeting, the faculty group, which by then had changed its name from "The Faculty Members Who Have Resigned" (from Central YMCA College) to "Roosevelt College Faculty," elected four of its members by preferential ballot from a field of nine nominees to serve as consultants.[3]

At that time (May 25, 1945), Sparling and the faculty still anticipated that ten of the twenty-one members on the Board would be elected by the faculty. This expectation is evident in Sparling's report to the Faculty: "We are something new in higher education--a college virtually controlled by its faculty, working with ten other men from the community who represent the values inherent in the faculty group." He predicted that "with such a plan of organization, we face a bright future." In his remarks, Leys reported: "letters have been received from academic men across the country, expressing envy of our faculty representation on the Board." Then, with an ebullience characteristic of the struggle, he added:

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[1] Minutes of the Meeting of the Faculty Members who Have Resigned, May 2, 1945, p. 4.

[2] Minutes of the Roosevelt College Board of Directors, May 8, 1945.

[3] Those elected were Madi Bacon, director of the School of Music; Joseph Creanza, chairman of the Department of Modern Languages; Donald Steward, registrar; and Glenn Wiltsey, professor of Political Science. Wiltsey who soon thereafter accepted an appointment as head of the Department of Government at the University of Rochester was replaced by Charles Seevers, professor and chairman of Biology (Minutes of the Faculty Meeting, Roosevelt College, May 25, 1945, p. 1; ibid., July 19, 1945, p. 3).

> With no one to say we can not, we will rise above mediocrity. The formula is hard thinking, liberality of spirit, money, nerve, and publicity.[1]

The faculty consultants elected at that meeting attended their first Board meeting five days later, on May 30, 1945, and attended the subsequent Board meetings held during the summer. At the meeting on June 7, 1945, there was a discussion of the issue of faculty representation on the Board at which time "it was agreed that the exact proportion of faculty members to community members was not of paramount importance: that the objective sought [was] to attain the best possible working democratic organization to carry on the affairs of the College, and that the academic policies of the school should be determined by the faculty, with some advice from the students."[2]

This was the first indication of a move away from Sparling's original plan. But there was no intention to back away from giving the faculty representatives full voting status. In fact, this came sooner than some expected. At the Board's meeting the following month a question was raised regarding the representation of the faculty. The trustees "agreed that full Board status was now appropriate for the faculty representatives and that definite by-law provisions should be adopted." The suggestion that this matter be referred to the faculty for their opinion met with approval.[3]

The question of the number of faculty representatives to be on the Board was, in fact, turned over to the faculty for what amounted to a final decision. Leys introduced the issue at the next meeting of the Faculty in his report on the work and progress of the Board.[1]

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[1] Minutes of the Faculty Meeting, Roosevelt College, May 25, 1945.

[2] Minutes of the Roosevelt College Board of Directors, June 7, 1945.

[3] Minutes of the Roosevelt College Board of Directors, July 12, 1945.

> At the last Board meeting it was decided to get the opinion of the faculty concerning faculty representation on the Board. At first it was thought there should be equal representation of faculty and citizens. However, there has been some feeling that the Board needs the strength that comes from the inclusion on the Board of more people from the community, particularly while we are getting financially organized.[2]

A resolution was introduced by the treasurer, Lowell Huelster, and seconded by Professor Charles Seevers, one of the faculty "consultants" on the Board, that five of the twenty-one members of the Board of Directors be elected by the Faculty. A few of the faculty were reluctant to depart from the original plan to have faculty and laymen on the Board in equal numbers. An amendment was introduced by Professor Weisskopf and seconded by Professor Hirning, that would have increased the number to ten as originally contemplated. But after listening to Leys, Wiltsey, and others who had been attending Board meetings argue that "there was nothing to be gained by so large a faculty representation that could not be accomplished by five members" and speak reassuringly "of the careful attention given by the Board members to the ideals and attitudes of a prospective new member," the amendment was unanimously defeated.[3]

The Huelster-Seevers resolution specified that three of the five faculty representatives be elected from the teaching faculty and two from among the full-time administrative officers. This formulation was challenged by two members of the teaching faculty (Professors Sell and Creanza) who introduced an amendment that this wording be changed to: "provided that not more than two are from the full-time administrative officers." This amendment, which made it possible for the faculty to elect no administrative officers if they wished, was passed despite the objections of one of the administrative officers. The discussion continued regarding other qualifications for eligibility as a faculty representative on the Board. Some members thought eligibility should be determined by rank or, at least, by full-time status. However, the faculty's mood was egalitarian and no action was taken to limit eligibility. The full text of the resolution, which was adopted unanimously, by the faculty, read:

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[1] The practice of reporting to the faculty on the actions and activities of the Board was instituted from the start. Subsequently, the Roosevelt College Senate specifically reaffirmed the right and responsibility of the faculty representatives on the Board to report at Senate meetings.

[2] Wayne A. R. Leys, Report to the Faculty, Minutes of the Faculty Meeting, Roosevelt College, July 19, 1945.

[3] Minutes of the Faculty Meeting, Roosevelt College, July 19, 1945, p. 2.

> The faculty in October of each year elects five Directors to serve a term of one year beginning November 1, with not more than two of the five from the full time administrative officers. No member elected by the faculty for three consecutive years shall be eligible to succeed himself. Voting shall be by preferential ballot.
>
> The Board in October of each year elects five Directors to serve a term of three years, beginning November 1. The President of the College shall be a voting member of the Board, ex officio.
>
> Special Provision to Start the System: In October, 1945, the Board shall elect fifteen Directors: Six of these Directors shall be members of the original Board of Directors. Of the fifteen Directors, five shall be assigned terms of one year, five shall be assigned terms of two years, and five shall be assigned terms of three years.
>
> Upon written request of two or more of the Directors, any question shall be referred to the Faculty or the Executive Committee of the Faculty for an advisory opinion.[1]

This was the decisive meeting in determining the extent of the faculty's participation on the Board. Although their action was politely referred to as a recommendation from the faculty to the Board, there was little question but that the faculty's feelings on the matter would be respected. The faculty debated the issue as if they were, in fact, taking decisive action. The faculty's willingness to allot themselves fewer positions on the Board than they had been promised originally did not mean they viewed this opportunity and responsibility as any less important. On the contrary, the faculty were aware that they were taking an historic action, almost without precedent in American higher education, and one which would influence the future course of their institution.[1]

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[1] Ibid., pp. 1-2.

After the vote was taken, Sparling commented on the decision to limit the number of faculty representatives on the Board to one-fourth of the total, and shared some of his concerns about the composition of the Board.

> The composition of the Board of Directors is somewhat of a departure from the original idea. The present Board is hand-picked by us. From now on new members will be selected by those already serving. The dangers in our new scheme are: (1) that eventually we may get the wrong type of Board members, and (2) that some faculty members on the Board might seek self-promotion through their close association with the Board members. A faculty member plays a double role. As a faculty member he must be responsible to the President, not the Board. Otherwise, there is a breakdown of administrative control.[2]

These were interesting comments for Sparling to make in that, on the one hand, they referred to his original conception of an even larger role for the faculty on the Board, and, on the other, suggested that he had some reservations about the dual role of the faculty trustee. The faculty did not share Sparling's forebodings. The sentiment of the time was buoyantly optimistic and the faculty thought they had hit on a formulation as close to perfect as could be construed.

The resolution adopted by the faculty became the basis for the section of the Bylaws dealing with Board membership. The Bylaws were drafted for the Board by Wayne Leys and attorney Mitchell Dawson on the basis of this and other actions taken by the faculty. In areas where the faculty had not taken specific action (for example, with regard to the authority of the president) they consulted with Floyd Reeves and exercised their own judgment.[1] Thus formulated, the first Bylaws were adopted by the Board on September 26, 1945. The only modification of the faculty recommendation of July 19 was the omission of the sentence limiting the right of a faculty trustee to succeed himself.[2]

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[1] Interviews with H. Johnson, April 8, 1970; J. Creanza, June 23, 1970; and D. Brennis, April 18, 1970.

[2] Minutes of the Faculty Meeting, Roosevelt College, July 19, 1945, pp. 2-3.

Roosevelt College opened its doors to students on September 24, 1945 in somewhat hastily remodeled space in a building it had purchased at 231 South Wells Street in downtown Chicago. There were 1,335 students and 100 faculty and administrative staff in three schools--arts and sciences, commerce, and music. The faculty were organized in a town-meeting type of government in which all were welcome to participate. A constitution was drafted by a small committee,[3] debated extensively, and adopted at an all-day meeting of the Faculty on November 3, 1945. It contained a number of provisions which were designed to provide considerable faculty autonomy and insure their participation in the institution's governance.[4] One such provision was that faculty meetings were to be presided over by a chairman elected by the faculty, rather than by the president. This was recognized at the time as a significant and conscious departure from the tradition in American higher education of the president as the presiding officer of the faculty. A vote of confirmation by the faculty was required for officers appointed by the Board (deans, vice-presidents, the treasurer and the president). These officers were also required to submit to a vote of confidence at three year intervals. Although the Bylaws delegated a considerable amount of authority to the president, such as the right to appoint members of the faculty, the Constitution qualified that authority by making the president more directly responsible to the faculty than was generally customary in American higher education.[1]

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[1] Interview with W. A. R. Leys, January 8, 1971.

[2] There has been no limitation on the right of succession of either faculty or lay members of the Board.

[3] This committee consisted of Professors Joseph Creanza, Grenville D. Gore and Henry Johnson, chairman (Minutes of the Faculty Meeting, Roosevelt College, October 22, 1945, p. 1).

[4] The original Constitution contained no reference to the faculty's right to elect members to the Board because this authority had already been granted by the Board on July 12 and codified in the Bylaws which had been adopted on September 26. Subsequently, the Constitution was amended to include this matter.

The Functions of the Faculty Trustee

There was considerable thought given initially, and in the early years, to the functions of the faculty representatives on the Board of Trustees.[2] At the Faculty meeting on October 15, 1945, the time of the first formal election by the faculty of its representatives on the Board,[3] there was a lengthy discussion of the functions of the faculty representatives. This discussion was requested by one of the men who had been serving as a faculty representative (Joseph Creanza) and perhaps reflected a desire to clarify or resolve what he may have regarded as ambiguities regarding his role. The Minutes of that meeting report that the discussion was centered around two principal questions:

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[1] E. g., see the provisions for votes of confidence and confirmation (Constitution of the Faculty of Roosevelt College).

[2] Initially, the governing body was called the "Board of Directors" in keeping with the terminology which had been used at Central YMCA College. In 1946, it began to refer to itself as the "Board of Trustees." This has been the term used consistently ever since.

[3] The "consultants" who had been elected by the faculty on May 25, were elected by the Board, on July 26, 1945, to serve as voting members until the annual meeting in October (Minutes of the Roosevelt College Board of Directors, July 26, 1945).

1. Are representatives on the Board, as such, subject to the control of the administration?
2. What type of representation does the faculty have?
    a. Members elected as trustees of the faculty acting on their own discretion? or
    b. Representatives from the faculty who get their instructions from them on how to act?

During the ensuing discussion a number of opinions were expressed.

1. [The] Board members [who are] chosen from the [general] community serve as individuals rather than as delegates of the group which they represent.
2. Too much time would be lost if faculty Board members were required to consult the faculty before making decisions.
3. The faculty as a whole would be better satisfied if it knew what goes on in Board meetings.
4. The best interests of the faculty, the College, and the Board are the same.
5. Periodic reports from the President to the faculty concerning Board activities might be desirable.
6. Open minutes of Board meetings would help the faculty to keep in touch.[1]

The discussion was concluded with an affirmative vote on the proposition: "It is the sense of this meeting that Board members elected by [the faculty are to] act on their own responsibility as free moral agents." It was then suggested that the president discuss with the Board the possibility of making the minutes of Board meetings open to the faculty. Sparling did discuss this with the Board, and subsequently minutes of Board meetings were made available in the president's office for any member of the faculty who wished to consult them.

The faculty's resolution authorizing its representatives to act independently, when taken together with its desire for regular reports and open access to the minutes, suggests that, although willing to forego consultation on each specific issue, faculty members wanted to keep in close touch with what was happening at Board meetings--presumably so that they might advise their representatives on any pending matter about which they felt strongly or so that they might, at the end of the year, elect a new representative if the incumbent did not acquit himself well in reflecting, defending or advancing the views of the faculty on various issues.

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[1] Minutes of the Faculty Meeting, Roosevelt College, October 15, 1945, p. 2.

Another view of the role and responsibility of the governing board, including the faculty representatives, as viewed by the institution's founders, can be had from a document which was prepared by the Board during its first year.[1] The Board was regarded as having rather specific and narrowly defined functions. Under the heading "General statement of the function of the Board" only three Board functions were specified.

> To interpret the college to the public and to interpret the community to the faculty.
> To help in the obtaining of public support of the college.
> To satisfy legal requirements in the holding of property and the transaction of business.[2]

This formulation was striking for its brevity and for its omissions. For example, no mention was made of any role played by the Board in setting general educational policy. Nor was the Board's role in approving certain personnel appointments, such as the president and the deans, made reference to in this formulation.

On the matter of the jurisdictional divisions between the Board and the faculty, the statement specified that:

> The Board is so constituted that the Board, the Faculty and the Administrative Officers should never act in ignorance of one another's wishes and opinions. Final responsibility, however, is divided as follows: The Board has final responsibility in the determination of budget and general institutional policies. Within the limits of general institutional policies, the Faculty has final responsibility for academic policies. . . . The President, faculty representatives and community representatives participate on equal terms in the formulation of Board policies.[3]

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[1] "Functions and Relationships of the Members of the Board of Directors to Roosevelt College," [1945], files of the Board of Trustees of Roosevelt University.

[2] *Ibid*. [3] *Ibid*.

It is clear from this statement, as well as from other documentary and interview evidence, that the Board intended to, and did in fact, confer rather broad powers upon the faculty. Furthermore, the remaining authority was shared between the community representatives, the faculty representatives and the president.

In this and in other statements made at the time by the Board and the president, members of the Board were frequently referred to as "representatives" of one or another group (e.g., faculty, labor, etc.).[1] The degree of "representativeness" that was intended is made clear in the paragraph under the heading "Board membership:"

> Although the Board seeks to be representative of the leading interests in the community and of the faculty, no member is a delegate, but is chosen on his individual merits. Each member is expected to act on his individual judgment.[2]

An example of how this use of the term "representative" was applied in a specific instance had come up during the summer as the Board was in the process of filling out its membership. During a discussion concerning the election of labor representatives to the Board the various divisions within the labor movement were discussed and it was agreed that "any person invited to membership on the Board should understand that he represented only himself--was not a representative of a group _per se_."[3]

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[1] Cf., the contemporary statement by Sparling that "the College Board represents various races and various roles in the community" (Minutes of the Faculty Meeting, Roosevelt College, September 14, 1945), and the retrospective statement, "I suggested [a Board with] not only representatives of management, labor, and capital but also white and Negro, Catholic, Jew and Protestant, men and women, and faculty. . . ." (interview, December 10, 1970).

[2] "Functions and Responsibilities."

[3] Minutes of the Roosevelt College Board of Directors, July 26, 1945. The board chairman, Edwin Embree, took a strong position on this issue (interview with W. A. R. Leys, January 8, 1971).

The use of the term "representative" to mean one who comes from a particular group rather than that one who is delegated by that group is also seen in a portion of Sparling's letter of welcome to the students of the new college.

> Since you [the students] will come from situations representing most phases of our democracy, Roosevelt College has a Board of Directors of men drawn from labor, management, capital, the press, social service, education and cooperatives. Since everyone who seeks to learn and is capable of benefiting from higher education will be welcome at Roosevelt College, the Board of Directors is intercreedal and interracial. Since the faculty of Roosevelt College is closest to the students and the needs of the college, one-third of the Board of Directors is composed of faculty members.[1]

This passage provides an additional insight into Sparling's motivation for a diverse and "representative" board. He wanted the Board to reflect the diversity of backgrounds from which his students were drawn.

The faculty's decision (previously cited) that its representatives act as "free moral agents" was a reaffirmation of the Board's decision that its members were to "represent only themselves." There appears to have been no recognition by the institution's founders, however, that the election of the faculty representatives by the faculty itself made these trustees "representatives" in a way different from the representatives of other groups (e.g., labor, management, etc.) who were elected by the Board. With hindsight the Board appears to have been naïve in failing to recognize this important distinction.

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[1] "Welcome from President," Roosevelt College News, I, No. 1 (September 28, 1945), 1. Although the Bylaws called for a Board of twenty-one members of which five were to be elected by the faculty, Sparling was technically correct in saying that (as of September 28, 1945) "one-third of the Board. . . . is composed of faculty." At that time there were sixteen trustees five of whom were members of the faculty: four of these had been elected by the faculty, one (Leys) was a faculty member who had been elected by the Board directly (the other trustees being the president and ten public trustees). There were five vacancies left on the Board to be filled by public members.

Student Participation in Governance

With so revolutionary a college and a governing board so broadly representative of diverse groups, it might well be asked if students as well as faculty were included on the Board, or if thought was given to this possibility. The question of student representation was raised by the Board, particularly by certain lay members, on several occasions at the time of the founding and in the early years. But the suggestion received only moderate support from the president, surprisingly little support from the students, and an indifference from the faculty that amounted to opposition. In September, 1945, Sparling's report to the faculty included a reference to the possibility of having students on the Board. He reported that the Board members "anxious that the college be democratic . . . have suggested a student representative to the Board and a student representative to the faculty."[1]

No action was taken in response to this suggestion, and it took a year for the Board to follow it up. At the Board meeting on April 9, 1946--at which Sparling reported the good news about the college's unprecedentedly rapid accreditation by the North Central Association--the chairman, Edwin Embree, again raised the question of student representation on the Board.[2] It was deemed advisable to obtain student and faculty opinion on the issue which was then presented to the next meeting of the Faculty. The Board's suggestion of a joint student-faculty-board committee was adopted, but its authorization was broadened by the Executive Committee of the Faculty to "study the problem of student representation in college matters."[3] This reformulation of its assignment took the committee's attention away from student participation on the board substituting instead the more general issue of "student representation in college matters." The joint committee was chaired by one of the faculty trustees, Henry Johnson. It met on several occasions and submitted a preliminary report to the Executive Committee of the Faculty,[1] but no final report was submitted either to the Faculty or to the Board. The faculty lacked enthusiasm for the idea of students participating on the Board, although they were willing to grant them certain other roles, such as a place in the faculty government. In any event, the issue of student representation on the Board was dropped with no affirmative action having been taken.

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[1] Minutes of the Faculty Meeting, Roosevelt College, September 14, 1945, p. 1.

[2] Minutes of the Roosevelt College Board of Directors, April 9, 1946.

[3] Minutes of the Faculty Meeting, May 20, 1946, p. 2.

The students were encouraged to establish their own self-government which, it was assumed, would parallel the structure of the faculty government in many respects. A provision in the Bylaws[2] gave specific authorization for such a government including the election of representatives and the adoption of a constitution. Moreover, the Faculty Constitution[3] authorized two representatives of the student body (appointed by the Student Senate) to serve as associate members of the Faculty (later Faculty Sentate), with the right to speak but not to vote.[4] An attempt made by one of these student members of the Faculty to increase the student representation was defeated;[5] however, students were given the right to have a representative with vote on a number of faculty committees.[6]

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[1] Ibid., May 29, 1946, p. 1 and October 23, 1946, p. 3.

[2] Article XIV, Section 4. [3] Article I, Section 2, Clause 3.

[4] In 1967 the Constitution was amended to give the student representatives on the Senate the right to vote, as well as the right to speak and move actions; they could serve on committees where expressly provided by Senate action, but they could not serve as officers of the Senate (Constitution of the Faculty of Roosevelt University, Article III, Section I, Clause 1).

[5] Minutes of the Faculty, May 20, 1946.

[6] Ibid., February 18, 1948.

Public Interest in Roosevelt's Governing Structure

The founding of Roosevelt College was a bold educational experiment. Its provisions for non-discriminatory admissions and for faculty involvement in governance drew the attention and the acclaim of a wide audience. Although Central YMCA College had been a purely local concern, news about Roosevelt College was of national interest. Laudatory articles about the new college appeared in such popular magazines as Life[1], Newsweek,[2] New Republic,[3] Nation,[4] New York Times Magazine,[5] and Saturday Evening Post.[6] Professional journals such as The Journal of Higher Education,[7] School and Society,[8] Higher Education,[9]

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[1] College Fence," Life, XXI, No. 23 (December 2, 1946), 38-39.

[2] "New Chicago College," Newsweek, XXV (May 14, 1945), 87; "The Roosevelt Experiment," ibid., XXXIII, No. 24 (June 13, 1949), 80-81.

[3] Robert Lasch, "Roosevelt College Grows Up, New Republic, CXX (June 6, 1949), 11-13.

[4] Carey McWilliams, "Who Owns a College?" Nation, CLXI, No. 25. Pt. 1 (December 22, 1945), 684-86.

[5] John F. Sembower, "College for All Races," New York Times Magazine, November 16, 1947, pp. 28-29.

[6] Henry F. Pringle and Katherine Pringle, "The College that Grew Up Overnight," Saturday Evening Post, CCXXII (November 5, 1949), 38-39ff.

[7] R[oscoe] H. E[ckelberry], "Successful Revolution," Journal of Higher Education, XVII, No. 5 (May, 1946), 274.

[8] "Growth and Achievement of Roosevelt College, "School and Society, LXIV, No. 1661 (October 26, 1946), 287.

[9] Jennings B. Sanders, "Roosevelt College Practices its Conception of Educational Democracy," Higher Education, V, No. 1 (September 1, 1948), 9-10.

Progressive Education[1] and The School Executive[2] brought word of the new college and its experiment in democratic governance to the educational community. In addition to these general audiences, news about Roosevelt College was of interest to the Negro community and to the labor movement, because of its more than usual concern for the educational problems of these groups. Consequently, articles about the College appeared in such publications as The Crisis: A Record of the Darker Races ("the official organ of the National Association for the Advancement of Colored People"),[3] Opportunity ("A Journal of Negro Life" published by the National Urban League,)[4] and The American Federationist (the journal of the American Federation of Labor).[5] These articles all reflected an interest in the unusual governing structure of Roosevelt College. One aspect of this governing structure which was of consistent interest to both journalists and educators was the broad representation on the Board of Trustees, of which the faculty component was perhaps the most novel.

Robert Lasch, an editorial writer for the Chicago Sun-Times, had this to say in the New Republic

> . . . Social class, of course, has no monopoly on prejudice. Nevertheless, Dr. Sparling was convinced that the quota system and other forms of discrimination are at least related to the type of upper-middle-

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[1] Francis Chase Rosencrance, "Higher Education," Progressive Education, XXIII, No. 3 (January, 1946), 109-10.

[2] "Government by the Governed," The School Executive, LXVIII, No. 9 (May, 1949), 56-57.

[3] Joseph H. Genné, "Roosevelt College and Democracy," The Crisis, LV, No. 2 (February, 1948), 45-46.

[4] Lorenzo D. Turner, "Roosevelt College--Democratic Haven," Opportunity, XXV (October, 1947), 223-25.

[5] Frank W. McCallister, "A College for Everybody," The American Federationist, LVIII, No. 8 (August, 1951), 25-27.

> class mores which have dominated American schools in this country. He resolved that Roosevelt's trustees should represent not this class alone, but a cross-section of the community as a whole.
>
> Of the twenty-one members of the Board of Trustees five are elected by faculty members from the faculty. The others represent business, labor and the professions; they include Catholics and Protestants, Negroes and Jews. With this organization no segment of the board controls academic and administrative processes according to its own ideas. Roosevelt is probably the only college in the country with white students that has Negro trustees. It is one of the very few that have given labor a voice on their boards of control.[1]

The article in the New York Times Magazine was specifically concerned with the element of control given to the faculty at Roosevelt.

> That a college is in the final analysis its faculty naturally would be recognized by an institution which for several months had nothing but a faculty. The earlier experience at the Central YMCA College led to adoption of a faculty constitution which is unique in the nation's academic life. It provides for five of the twenty-one members of the board to be faculty members, three of them full-time teachers. . . .[2]

Some of the professional journals indulged in a bit of hyperbole to describe the governing structure: e.g., "the new Roosevelt College . . . is completely self-governing. . . ."[3] and "at Chicago's Roosevelt College the government of the school operates by consent of the governed."[4] Occasionally, too, the public was misinformed by inaccurate reporting such as this:

> The charter of the new college provided that one third of the Board of Directors be faculty members. It also provided that two students, elected by the student body, sit on the Board, although without vote.[5]

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[1] Lasch, "Roosevelt College Grows Up."

[2] Sembower, "College for all Races."

[3] Rosencrance, "Progressive Education."

[4] "Government by the Governed."

[5] Louise Chase, "Democracy Wins A Victory," Reader's Scope, V, No. 9 (February, 1948), 127-32.

Summary and Discussion

Roosevelt College and the Roosevelt College Board of Trustees developed out of the Central YMCA College of Chicago. As the result of disagreements between the president and the board of that institution which had their origins in the 1930's and before, the president and, subsequently, a large group of the faculty, resigned from that institution in the Spring of 1945 to found a new college.

As a consequence of these origins and of the time and place of its founding, it was hoped that the new college would be free of the defects attributed to its predecessor and would be a model of freedom and democracy in higher education. Where the old college had a multiple board structure, Roosevelt would have a unitary board; where the development of the old college was curtailed by its subordination to another agency, the new college was to be encouraged to grow and flourish to the limit of its ambitions and resources; where the board of the old college was composed of individuals drawn primarily from a single social and economic class, the board of Roosevelt was to be drawn from a wide spectrum of society, paralleling the diverse backgrounds of its students; and whereas the president felt he was alone in defending the academic freedom of his faculty to the board of the old college, the board of the new college was to have a substantial number of faculty-elected members who could champion their own freedoms and aspirations, individually or allied with the president.

The composition of the new board was unusual in terms of the strong academic background and orientation of its lay members and in terms of their affiliations with liberal and progressive community activities. In other respects they were an intentionally heterogeneous group, as was the student body. And, unlike the arrangement at most American colleges, where the founding board picks the first president, Roosevelt College was founded by a president (and faculty leaders) who picked the first board.

Those who founded Roosevelt College believed they were developing something new and essentially untried in American higher education. Although some were aware of the few other colleges in the United States that had experimented with faculty participation on their governing boards, and most were aware of the European model of a university which is controlled almost entirely by its faculty, no one thought of these other settings as a specific model or precedent. This was to be a new college with new concepts and with a governing structure as ideally democratic as could be devised. This new governing structure was influenced by the concept of checks and balances in the Constitution of the United States in which ultimate power resides, theoretically, with the people. At Roosevelt, the Board was to have final control in accordance with custom and law, but a large measure of this control was explicitly delegated to the president and the faculty. The faculty not only elected five of the Board members, but cast votes of confidence and confirmation for the president and other senior administrative officers. In this manner the authority of the Board and of the president was balanced and circumscribed by that of the faculty.

The faculty voted to authorize their representatives to act as "free moral agents" rather than as delegates who needed to check with their constituency on each issue. The Board adopted a similar policy with regard to its other members--each was to be selected as an individual rather than as a delegate from a particular group. It was the intention of the members of the founding Board that a wide variety of groups be represented on the Board in the sense that the Board would elect members from different elements or segments of the community. The distinction between members thus selected and faculty members who owed their place on the Board to election by their colleagues, seems not to have been noticed or thought significant.

In fulfilling their model of a perfectly democratic board, there was some early interest on the part of the president and some of the lay members in having student, as well as faculty, participation on the Board. But they did not press the matter, nor did the students, and the faculty's lack of enthusiasm resulted in no action being taken. On the other hand, students were given a free hand to set up their own self-government and were also given a role in the faculty government.

Owing to the democratic circumstances of its founding and to its highly dramatic governing structure there was considerable acclaim over the founding of Roosevelt College in both the public press and professional journals. The provision for faculty-elected representatives to serve on the governing board was an aspect of the Roosevelt College governing structure which received wide attention and comment.

CHAPTER V

THE DEVELOPMENT OF FACULTY TRUSTEESHIP AT ROOSEVELT UNIVERSITY

Constitutional Provisions

The idea of having faculty members serve on the governing board of Roosevelt College was part of the plan from the time that Sparling first proposed to start the new college, in the Winter and early Spring of 1945. The specific details regarding this representation and the other elements in the governing structure of the College were worked out by the Faculty and the Board during the Summer and Fall of that year and codified in two documents, the University Bylaws and the Constitution of the Faculty.

The original proposal of the Faculty was that its five representatives on the Board be elected annually by proportional representation and be permitted to serve only three consecutive terms[1]--unlike the lay members who were to have three-year terms with no limit on succession. Within the first few years of the College's operation a number of changes in this original proposal were adopted. The limitation on the faculty trustees' right of succession was omitted when the Board codified the procedure in its Bylaws. Subsequently, the length of term of the faculty trustees was extended from one to three years. Their election was staggered by years so that it would parallel the election of the lay trustees in three year "classes." The date of these elections was changed from the October to the May meeting of the Faculty; even the manner of nominating candidates was debated, changed, and changed again.

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[1] Minutes of the Faculty Meeting, July 19, 1945.

These procedural revisions and reconsiderations, which were accomplished for the most part by the time-consuming method of amending the Constitution[1] provide evidence of the faculty's high regard for their prerogative of Board membership and indicate that these elections were considered a matter of the utmost gravity. Every provision was evaluated and re-evaluated so that an ideally democratic governing structure could be devised.

The provisions regarding the election of faculty members on the Board were embodied in the Bylaws that were approved by the Board on September 26, 1945. Because this was the superordinate document the faculty did not think it necessary to include these provisions in their Constitution (adopted November 3, 1945). However, by 1947, after these election provisions were much reviewed and revised and because they became so detailed, it was considered advisable to include them in the Constitution rather than encumber the Bylaws with matters relating to the internal affairs of the Faculty.[2] Subsequent changes in the number of faculty trustees have been made in both the Constitution and the Bylaws, but only the Constitution has specified the election procedure in full detail.

Election Procedures

At the time of the first official election of trustees by the Faculty, in October, 1945, the Bylaws specified that these elections be for a one-year term and be held by preferential ballot in order to provide proportional representation. This procedure was thought to have the advantage of making the faculty trustees maximally representative of the diverse viewpoints within the faculty. There were then no specific provisions for nominations and candidates were nominated openly. It was pointed out to the Faculty by its chairman that since the Board generally spent time discussing the qualifications of prospective members, the Faculty ought to do at least as much in electing its representatives. For that reason, the Faculty decided to adjourn its meeting for one week, so that there could be full discussion of the qualifications of the candidates before the elections were held.[1]

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[1] Amendments to the Constitution have to be submitted to the Faculty Senate at least one meeting before the one at which they are voted on, must receive at least 70 per cent of all the votes cast, and must then be submitted to the Board for ratification (Constitution of the Faculty, Article VI).

[2] The constitutional amendment containing the provisions for the election of the faculty trustees was passed by the Faculty on January 17, 1947 and was ratified by the Board on March 12, 1947 (see Faculty and Board Minutes of those dates).

The Faculty's second opportunity to elect a trustee came in April, 1946 when the Board's choice of Dean of Faculties Wayne Leys as one of the public members created a faculty vacancy. That election was conducted by means of a secret nominating ballot so that all members of the faculty could be considered candidates. A run-off election was then held (at the same meeting) between the two top nominees.[2]

In October of that year (1946) elections were held for one-year terms by preferential ballot without nominations or a nominating ballot. Those voting simply listed their preferences in order of choice from among the entire faculty. The five with the most votes were elected.[3] This procedure was thought to be highly egalitarian, since everyone was a potential candidate.

It was soon realized that elections under this system could be influenced by the prearranged vote of a relatively small number of people. Since there were over one-hundred members of the faculty from whom to choose, the ballots tended to be widely distributed. A small group arranging in advance to cast their votes for a given slate were able to exert disproportionate weight. For this reason, the provisions were challenged and then changed so that the following year (1947) a secret nominating ballot was used to select ten candidates for the five vacancies.[1]

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[1] Minutes of the Faculty Meetings of October 15, 1945 and October 22, 1945.

[2] Minutes of the Faculty Meeting, April 8, 1946.

[3] Minutes of the Faculty Meeting, October 16, 1946, p. 2.

The revised procedure was found to be equally subject to abuse. Caucusing prior to that election produced two separate slates, one of which completely dominated the elections. There was extensive and sometimes bitter debate among the faculty on this matter.[2] All agreed that open nominations were preferable either to secret nominations or to no nominations, and an amendment incorporating that change was passed by the Faculty on April 21, 1948 and ratified by the Board.[3] Subsequent elections of faculty trustees have all been held with open nominations.

In 1948 and 1949 the faculty were also given an opportunity to submit nominations to the chairman by mail prior to the meeting.[4] The list of those so nominated was distributed to the Faculty in advance of the meetings at which further nominations were called for and elections held. This practice, not required by the Constitution, was discontinued in favor of having nominations open only from the floor.

In 1948 the date of the election of the faculty Board members was changed from the October to the May meeting of the Faculty. It was argued that new members of the faculty would be more likely to know their colleagues at the end rather than at the beginning of the academic year,[5] and would thus be better able to evaluate their capacity for Board membership.

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[1] Minutes of the Faculty Meetings of January 17, 1947 and October 15, 1947.

[2] See, for example, Abba P. Lerner's "Reflections on the Constitution of Roosevelt College and Related Subjects," (Issues, I, No. 1 [November 6, 1947], 1-15), and several responses to that article in the same and subsequent numbers of Issues. (Issues was a mimeographed "discussion organ for the Faculty of Roosevelt College" created to contain debate on this and related matters.)

[3] Minutes of the Faculty Meeting, April 21, 1948 and Minutes of the Board of Trustees, May 27, 1948.

[4] See Memorandum to the Faculty from Kendall B. Taft, Chairman of the College Senate, May 3, 1949.

[5] Minutes of the Faculty Meeting, April 21, 1948.

Length of Term

At the same time that the method of nomination and election was debated and revised, the length of term of the faculty trustees also was reconsidered. The original plan of having one-year terms of office for the faculty trustees and staggered three-year terms for the lay trustees had the unintended result of permitting 50 per cent turnover in Board membership every year: the five faculty trustees and five (of the fifteen) lay trustees. This defect was criticized by the North Central Association examiners in their report submitted in the Spring of 1946.[1] Since the Association had appointed an advisory committee to re-evaluate the College at the end of the subsequent year, this matter was thought to have some urgency. It was suggested, also, that longer terms on a staggered basis would provide for more effective participation as well as for greater continuity. Some members of the faculty were reluctant to make this change because they believed that the advantages of the Hare system of proportional representation outweighed the advantages of staggered terms. (The Hare system fails to function when only one or two individuals are being elected.) Nonetheless, the Faculty did endorse the recommendation of its Executive Committee and the Board ratified the change in its Bylaws to provide for staggered three-year terms for the faculty trustees.[2]

Proportional Representation

Since the Hare system of voting is only effective when several people are to be elected, one result of staggering the terms of office was to change the election procedure to a majority vote. Election of faculty trustees by majority vote was specified explicitly in the constitutional amendment which was ratified by the Board on March 12, 1947. Until that time, however, the advantages and disadvantages of the Hare system of proportional representation were debated frequently and at length by the faculty. There were many on the faculty who saw proportional representation by preferential voting as the best means of ensuring a truly democratic election. They argued that a major defect in ordinary elections was that minority groups were typically not represented. Preferential voting permitted minorities to be represented in proportion to their size. Professor Weisskopf, for example, argued that "diverse opinions are needed on the Board. . . . [Roosevelt] College was formed on the principle that minorities deserve a vote."[1] An explanation of preferential voting and the arguments favoring it was adapted from the book Proportional Representation--The Key to Democracy[2] and distributed to the faculty by its proponents on several occasions.

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[1] No copy of this original accreditation report has been found in the files of the University; however, there are a number of references to the recommendations it contained (see, for example, Memorandum to the Faculty, from Kendall B. Taft, Chairman of the Executive Committee of the Faculty, October 17, 1946, and Minutes of the Faculty Meeting, April 8, 1946 and October 23, 1946).

[2] Minutes of the Faculty Meeting, October 23, 1946, p. 2.

Opponents of proportional representation argued that it tended to increase divisiveness within the College and created artificial factions around minor personality differences rather than around real issues. Professor Everett spoke for others beside himself when he reasoned that "Board members should represent a large majority of the faculty. Proportional representation encourages minorities where they would not otherwise exist."[3] President Sparling, in a letter to the chairman of the Board, wrote: "At one time I was in favor of proportional representation as a theoretical ideal but I have opposed it at Roosevelt College for the past year because I have found it to be a disruptive influence in the institution."[4] The issue came up time and again with regard to a variety of elected positions of which faculty membership on the Board was but one. Although a specific exception was made for the election of faculty trustees, the general rule has been that "all elections, unless otherwise provided for in [the] Constitution, shall be held with secret preferential ballot."[1]

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[1] Minutes of the Faculty Meeting, October 15, 1947, p. 2.

[2] George H. Hallet, Jr. and C. H. Hoag (Washington, D.C.: National Home Library Foundation, 1937).

[3] Minutes of the Faculty Meeting, October 15, 1947.

[4] Letter to Edwin R. Embree, November 11, 1948, President's Office files.

Growth of the Board and of the Number of Faculty Trustees

The Bylaws originally specified a Board of twenty-one members--fifteen elected from the community, five elected from the faculty, and the president. It was not long before the Board became interested in enlarging its number. This desire to enlarge the Board has been expressed at various times over the years as a way of adding to the Board wealth, influence, community leadership, or some other asset which, it was hoped, could be tapped for the College. This tendency is common among boards of private institutions. It is restrained by the organizational difficulty of dealing with larger and larger numbers of people, and at Roosevelt, by the faculty's reluctance to see more and more community representatives added to the Board lest they lose their own influence and control.

The Roosevelt governing board was enlarged for the first time in December, 1948, from twenty-one to twenty-five members. The Board was divided into three-year classes with six members in each class (two of whom were elected by the faculty), and the president.[2] The number of faculty representatives was increased by one (from five to six) so that their proportion would remain the same (i.e., 24 per cent).

The authorized size of the Board was increased again in April, 1953, from twenty-five to thirty members. The resolution which emanated from the Executive Committee of the Board specified that "the present ratio of faculty members of the Board" should be retained.[3] As a consequence, the number of faculty trustees was increased from six to seven. There was no intent to alter the balance of power between the faculty and the lay members of the Board. The Board merely wanted to have more positions which could be awarded to persons of wealth and influence. The quorum figure of twelve which had been in effect with the twenty-five member Board was retained when the size increased to thirty, suggesting that full attendance at meetings was not considered to be of the utmost importance. Since 1953, the number of faculty trustees has remained at seven.

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[1] Constitution of the Faculty, Article III, Section 6, Clause 4.

[2] Minutes of the Board of Trustees, December 15, 1948.

[3] Minutes of the Board of Trustees, April 16, 1953.

The increase in faculty membership on the Board from five to six in 1948, and from six to seven in 1953, brought no increase in the number of administrative officers who could be elected to fill these positions. The limitation of "not more than two" adopted by the Faculty in July, 1945,[1] has continued in effect.[2]

The expansion of the Board from twenty-one to twenty-five and then to thirty members was accomplished by means of amendments to the Constitution and to the Bylaws which were enacted without conflict or dissent. An increase from thirty to thirty-three members was enacted without a constitutional amendment, and engendered some opposition. In October, 1957, one of the faculty members of the Board proposed to the Faculty Senate[3] that it recommend that "the two vice-presidents [the vice-president for business and finance and the vice-president for development] and the dean of faculties be made ex officio members of the Board without vote."[1] He argued that it was his idea to increase the faculty's representation on the Board but to do so in a way that would "avoid giving the public members the impression that we are trying to increase our voting power." When one of the vice-presidents objected, the measure was amended to include the qualification that such membership "shall not take precedence over the right of any of these officers to be elected to the Board as voting members."[2]

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[1] Minutes of the Faculty Meeting, July 19, 1945, p. 1.

[2] "Not more than two of the Trustees elected by the University Senate and serving at the same time shall be full-time administrative officers" (Constitution of the Faculty of Roosevelt University, Article III, Section 1, Clause 7).

[3] The faculty governing body was changed in November, 1948, from an open "town meeting" (the Faculty) in which all of the full-time members of the faculty and staff and most of the part-time members participated and voted, to a senate constituted of representatives elected by the departments and of ex officio members of the College administration. The Senate assumed the responsibility of electing the faculty representatives on the Board, although any member of the faculty or administration could be nominated and elected to the Board whether or not they were a member of the Senate (Minutes of the Faculty Meeting, November 3, and November 10, 1948).

This recommendation was brought to the Board at its next meeting and was passed by the Board with some dissension. A motion to refer the matter to the Executive Committee of the Board (which had not yet formally considered the issue and which might have killed it) was defeated by only two votes (five to seven). The measure was then passed. Its effect was to increase the size of the Board from thirty to thirty-three members by legalizing what had been customary practice. Although President Sparling had regularly invited the three senior officers of the institution, those who reported directly to him, to attend Board meetings, the action was seen by some as a challenge to the president's authority. These officers were no longer to attend merely as guests of the president, but in their own right. It was this aspect of the proposal that had led some of the trustees to oppose its adoption.[3]

The Board approved this change on a regular motion, not as an amendment to the Constitution or the Bylaws. The exact legal consequence of handling the matter this way was ambiguous but the practical result was that these ex officio positions were held only by those individuals who held the specified offices at that time: John Golay, dean of faculties; Wells Burnett, vice-president for development; and Lowell Huelster, vice-president for business and finance. The first two of these men resigned in 1960, the third retired in 1961; their successors have not held ex officio Board membership.

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[1] Minutes of the Senate Meeting, May 15, 1957.

[2] Minutes of the Senate Meeting, October 16, 1957.

[3] Minutes of the Board of Trustees, October 16, 1957.

A residual effect of their membership was that the Board understood its authorization to be thirty-three members. This was apparent when in April, 1961, a resolution was introduced to the Board to increase the size of the Board from thirty-three to forty members.[1] That resolution, drafted by the vice-chairman and introduced by him on behalf of the Executive Committee which recommended it, also called for a reduction in the number of faculty trustees from seven to six. This resolution was interpreted by the faculty Board members as a challenge to their participation on the Board. Two of the faculty trustees spoke against the measure and urged, successfully, that action on it be postponed at least until the subsequent meeting. At the next meeting of the Senate a lengthy discussion of the issue was held and a resolution adopted that "it be considered the sense of the Senate that the number of faculty members on the Board be maintained at seven."[2]

When the matter of expanding the Board's size was discussed by the Board again the following Fall, the Senate's formulation prevailed. A resolution was adopted increasing the size of the Board from thirty-three to forty-one members (rather than forty as had been proposed the preceding Spring). This resolution specified that the number of faculty trustees be maintained at seven.[3] The authorized membership of the Board has remained at forty-one since that time (1961)--thirty-three trustees elected by the Board in three-year classes of eleven, seven trustees elected by the faculty for three-year terms (two each year for two successive years and three each third year), and the president (ex officio, with vote).[4]

The Senate rejected the proposition that faculty membership on the Board be reduced from seven to six. It also voted against the proposition that the existing ratio of faculty to lay members of the Board be maintained.[1] Whereas the faculty had held approximately 25 per cent of the authorized positions on the Board prior to 1961, after that date they held only 17 per cent. The Senate was willing to accept this reduction in the ratio of faculty to lay trustees for the same reason that the Faculty was willing to reject Sparling's proposal for 50 per cent of the Board membership in the first place. They felt deficient at fund raising and believed that an increase in public members for this purpose was desirable.

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[1] Minutes of the Board of Trustees, April 13, 1961.

[2] Minutes of the Senate Meeting, May 17, 1961.

[3] Minutes of the Board of Trustees, April 13, 1961.

[4] Bylaws of Roosevelt University, Article III, Sections 2 and 3.

At a Senate meeting in April, 1960, Robert Runo, one of the faculty members of the Board, presented his analysis of the situation:

> A board has three major functions: first, to use its wisdom at board meetings for major decisions; second, to bring prestige to the university; and third, to raise money. . . . The faculty . . . cannot raise the money. . . . This is the weakness of our Board.[2]

He then urged "that the public membership of the Board be increased by the addition of members who could bring in money and that the faculty membership not be increased." Although neither the faculty nor the Board were prepared to adopt this suggestion when it was offered, they did so a year later. In 1961, when a resolution was introduced in the Senate to maintain the existing ratio of faculty to lay trustees, "the discussion which followed stressed . . . the need for Board members who are money raisers and the feeling on the part of some lay members that the meetings are dominated by the faculty members."[3] This proposal was defeated by a vote of thirty-one to nineteen. Instead, a subsequent resolution requesting "that the number of faculty members on the Board be maintained at seven" was passed by the Senate by a vote of twenty-eight to twelve.[4] Since that time there has been no attempt to increase or diminish the number or percentage of faculty members on the Board.

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[1] Minutes of the Senate Meeting, April 19, 1961.

[2] Minutes of the Senate Meeting, April 20, 1960.

[3] Minutes of the Senate Meeting, April 19, 1961. [4] *Ibid.*

Faculty Participation on the Executive Committee

The Board of Roosevelt College operated with an Executive Committee from the beginning. This Committee was provided for in the original Bylaws and was composed of seven members elected by the Board. Although it was nowhere explicitly specified, it was customary for the chairman, the president, and one of the faculty trustees to be elected to this committee together with four lay members. In the early years the faculty member of the Executive Committee was an administrative officer, the dean of faculties. In 1950, the Board elected a teaching member of the faculty to this committee for the first time. As the Board grew in size the role of its Executive Committee increased in importance. This was particularly true under the chairmanship of Harold L. Ickes (1948-1950), who, as a former government administrator, preferred to operate with staff-work and committee reports rather than with extended debate at Board meetings. At that time, the Executive Committee assumed the responsibility of reviewing the budget of the College before it was presented to the Board.

In the Spring, 1951, the Executive Committee, in considering the proposed budget for 1951-52, had before it a recommendation from the joint faculty-administrative budget committee (on which the president had participated), and a separate (minority) report submitted by the president alone. Although these two recommendations were substantially the same, there was disagreement concerning the expenditures for two administrative offices of the College. The Executive Committee approved the president's proposal as did the Board of Trustees.

The faculty members of the joint budget committee were rather put-out by this reversal and found considerable sympathy among the members of the Senate. It was recognized that the vote of the Executive Committee of the Board was crucial in influencing decisions of the Board in such matters. After some discussion of the issue, the Senate voted to "request greater teaching faculty representation, not less than one-third of the membership of the committee, on the Executive Committee of the Board."[1]

This recommendation was considered and endorsed by the Executive Committee of the Board. In November, 1951, the Board voted unanimously to accept the recommendation of its Executive Committee "that it should be the practice of the Board of Trustees to elect not less than two faculty Board members to membership on the Executive Committee of the Board."[2] At the same meeting, however, the Board voted to increase the size of the Executive Committee from seven to nine.

The Executive Committee remained at nine members, two of whom were faculty, from 1951 until 1970. In December, 1970, the Board voted to increase the size of its Executive Committee to eleven.[3] The number of faculty members was continued at two. The size of the Executive Committee has been governed by a provision in the Bylaws[4] but the practice of electing two faculty Board members[5] is not so codified, although presumably the 1951 resolution prevails.

From time to time since 1951, faculty members of the Board have complained about what they believed was inadequate faculty representation on the Board's Executive Committee,[6] but there has been no attempt since that time, either in the Senate or in the Board, to alter the number of faculty representatives on the Executive Committee or to reaffirm the 1951 resolution by incorporating it into the Bylaws.

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[1] Two other recommendations adopted at that time were "to persuade the President to accept as final the budgetary decisions of the Joint Committee," and "to request the Board to invite a Senate Budget Committee sponsor of budgetary proposals made to the Executive Committee of the Board" (Minutes of the Faculty Senate, May 16, 1951).

[2] Minutes of the Board of Trustees, November 15, 1951.

[3] Minutes of the Board of Trustees, December 2, 1970.

[4] Article V, Section 1.

[5] Although the 1951 resolution specified "not less than two," the practice has been to elect only two.

[6] See the reports of the faculty members of the Board in the Minutes of the Senate Meetings of November 19, 1952 and November 26, 1958.

Experience of Faculty Participation on the Board

Membership and Attendance

The authorized faculty representation on the Board was set at approximately 24 per cent in 1945 (five members out of twenty-one) and remained close to that until 1961 when it was reduced to 17 per cent (seven members out of forty-one). In practice, however, the actual extent of faculty participation in Board affairs was much greater. This was so for two reasons. First, there were frequent periods when the Board did not elect its full complement of members, whereas the faculty invariably did. Furthermore, vacancies occurring in the lay membership through death or resignation often were unfilled for some time. However, any vacancy occurring in the faculty membership on the Board was filled by the Senate at its next meeting. In fact, a specific enabling provision was passed authorizing the Senate to declare and to fill vacancies.[1]

The second reason that actual participation has been greater than authorized participation is that the attendance of faculty members at Board meetings has been markedly higher than the attendance of non-faculty Board members. There are a number of reasons for the faculty's more conscientious attendance including convenience and self interest. Board meetings have generally been held at the University and so were much more easily attended by faculty who were already on the premises. It was often the case that prominent or well-to-do individuals who had been sought out by the Board for membership were too busy with their business affairs and other commitments and obligations to attend all the meetings. Such individuals were also more apt to be away from the city at the time of Board meetings. Furthermore, however great the extent of their commitment to the institution and their desire to participate in its governance, it was less than that of the faculty who spent much or all of their professional lives within it. The faculty members were more directly and more profoundly affected by the outcome of Board actions and decisions than were the lay members.

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[1] Constitution of the Faculty, Article III, Section 1, Clause 8.

The effect of these two factors (actual Board size and actual attendance) on the faculty's participation on the Board may be seen in Table 1. The data for Table 1 were computed from the Board membership rosters and the attendance lists noted in the Minutes of Board meetings. The attendance at each Board meeting over the past twenty-five years was calculated and averaged by academic year. The percentage of faculty membership of actual total Board membership was almost always higher than its percentage of the authorized membership. Even more striking are the attendance data showing the prominence of the faculty members at meetings. These attendance data are averaged by academic year and do not show the meeting-by-meeting variations where, in some instances, the number of faculty trustees equalled or exceeded the number of lay trustees.

If anything, these data on the attendance of faculty trustees under-emphasize the importance of the institutional as compared with outside members on the Board. Only the voting members of the Board, and excluding the president, were included in the computations. Certain officers of the institution (Specifically the vice-presidents and the director of development) were regularly invited to attend meetings as non-voting guests as, in some years, were the new trustees elected by the faculty whose terms of office had not yet begun. The effect of these additional "insiders" on the actions of the Board is difficult to calculate.

The Faculty Elected Trustees

In the twenty-five years between 1945 and 1970 the faculty elected thirty-six individuals to membership on the Board of Trustees. Their terms of service range from less than one year (in the case of resignations or elections to fill out a partial term) to (in one case) over nineteen years. The average length of service for all faculty trustees as of December, 1970,

TABLE 1

THE EXTENT OF FACULTY PARTICIPATION ON THE BOARD OF TRUSTEES OF ROOSEVELT UNIVERSITY

Academic Year	Faculty Membership as a Per Cent of Total Authorized Membership	Faculty Membership as a Per Cent of Actual Membership	Faculty Attendance at Meetings as a Per Cent of Total Attendance
1945-46	24	33	51
1946-47	24	31	42
1947-48	24	28	42
1948-49	24	29	45
1949-50	24	26	45
1950-51	24	*	38
1951-52	24	25	45
1952-53	24	26	45
1953-54	23	29	48
1954-55	23	30	43
1955-56	23	29	47
1956-57	23	*	38
1957-58	23	23	35
1958-59	23	23	36
1959-60	23	23	32
1960-61	23	*	43
1961-62	17	*	37
1962-63	17	23	32
1963-64	17	20	32
1964-65	17	20	26
1965-66	17	19	31
1966-67	17	19	29
1967-68	17	18	31
1968-69	17	18	31
1969-70	17	18	26

Calculated from: Rosters of the trustees of Roosevelt University and attendance at meetings as noted in the Minutes of the Board of Trustees.

*Data not available for these years.

Note: The percentage of faculty attendance at Board meetings tends to be stable regardless of the number of meetings held per year (e.g., in 1948-49 there were nine meetings with an average faculty attendance of 45 per cent of the total, in 1949-50 the per cent was the same although there were only four meetings).

was 4.5 years. This compares with seventy-one persons elected by the Board with an average length of service of 7.1 years. In addition, the institution has had three presidents who have served on the Board ex officio.

Just over one-third (thirteen) of the faculty-elected trustees held full-time administrative positions, such as dean, division director, or controller, whereas approximately two-thirds (twenty-three) were full-time members of the teaching faculty.[1] Including the deans, twenty-one of the thirty-six were members of the College of Arts and Sciences, four were members of the College of Business Administration, three were members of the College of Music and eight held University-wide administrative positions: dean of faculties (four), controller (one), dean of students (one), registrar (one), and director of labor education (one). The division among the three colleges corresponds approximately to the size of each of these academic units. The holders of certain administrative positions were more apt to be elected than were their colleagues on the teaching faculty. These elections did not come as an automatic reward of office, however, for although most of the college deans and the deans of faculties were elected at one time or another (and some repeatedly) some who held these positions were not elected.

The individual elected most often to trusteeship has held no full-time administrative position. However, his position in the Department of Economics has brought him into contact with the faculties of both the College of Arts and Sciences and the College of Business Administration. The next two longest terms of service have been held by individuals who have served as dean of faculties. The faculty has apparently had considerable confidence in the ability of the dean of faculties to represent them on the Board. The deans of faculties, more than most other members of the faculty or administration, have been in a position to receive the support of the faculty of the several colleges.

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[1] Two of the faculty trustees were elected first as teaching members of the faculty and later as administrative officers. They are here counted as administrative officers.

Faculty-Board Communication

Despite the presence on the Board of members elected by the Faculty (or, perhaps, because of their presence), the original Bylaws specified, in the section outlining the president's duties and obligations, that "he shall be the official medium of communication between the faculty and the Board and between the students and the Board."[1] This provision has been reiterated from time to time[2] and has never been changed. On one such occasion, Sparling clarified this to the Senate.

> There is no censorship at Roosevelt College. A member of the faculty is free to express himself to a member of the Board of Trustees or any other person. However, on any official matter, he is expected to communicate with the Board through established channels [i.e., the president].[3]

In general, this policy has been followed by the faculty; however, there were occasional exceptions (sometimes annoying to the president and to the Board.)[4] The exact procedure to be used by a member of the faculty who wished to communicate with the Board (or a member thereof) was spelled out by President Sparling in the Senate in response to a question.

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[1] Bylaws of Roosevelt University, Article IV, Section 5, paragraph b.

[2] For example, in a memorandum to the new members of the teaching staff dated September 1, 1947, the dean of faculties wrote: "The chief legislative bodies are the Board of Trustees, the Faculty, and the College Council (student organization). Although these bodies have overlapping memberships, the president is the channel of communication between the Board of Trustees and the other bodies."

[3] Minutes of the Senate Meeting, March 19, 1952.

[4] For example, Sparling reported to the Board on one occasion that "recently, one Board member received three communications from the faculty, concerning the School of Education, written around the President. This is not proper administrative procedure. The board member dropped them in the wastebasket without replying. The incident, but not the names were reported to the President" (Minutes of the Senate Meeting, December 14, 1949).

> Mr. Hooker . . . asked what is the procedure to be used by a faculty member in addressing a Board member. Would it be correct to address him in care of the President's office to be forwarded to him? . . . Would [it] be correct to send an unsealed letter . . . ? Mr. Sparling replied that the letter could be sealed but that a carbon should be sent with it to him with a request to transmit the letter to the Board member. Mr. Hooker asked if it would be correct to send a mimeographed letter to all members of the Board with a copy to the President. Mr. Sparling was of the opinion that the Board might rule against circularizing its membership because they would be bogged down by such material if the practice became general.[1]

The Board took no official action regarding the circularization of its members. But such circularization was discouraged, and in at least one instance actually stopped.[2] However, in recent years when the staff of the student newspaper, on their own initiative and without authorization, added the names of the members of Board of Trustees to their circulation list nothing was said or done.

Occasionally, the faculty Senate would communicate formally with the Board transmitting recommendations or suggestions. These communications were generally transmitted by the president. The one regular exception to this was that notification of the election of faculty trustees was required by the Constitution to go through the secretary of the University Corporation (i.e., the secretary of the Board of Trustees).[3] On at least one occasion, however, a faculty member of the Board distributed copies of a Senate report at a Board meeting, rather than wait for the president to communicate the matter.[1] This was seen by the president as a challenge to his authority.

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[1] Ibid.

[2] "Someone . . . dropped copies of the last issue of Issues in the mail shute addressed to the public members of the Board. [The controller] instructed [the mail room] to impound them on the ground that the sender is unknown and only the president is authorized to circularize the Board at college expense" (letter from W. A. R. Leys to E. J. Sparling, June 23, 1949).

[3] Constitution of the Faculty, Article III, Section 1, Clause 7.

On no occasion did the Senate instruct the faculty Board members on any issue, either to communicate any matter to the Board or to vote in a certain manner. They were always free to act on their individual judgment (subject only to their having to stand for re-election by the Senate at the end of their term). One member of the faculty once proposed that the Constitution be amended to include the requirement that "whenever 30 per cent or more of all votes cast at any meeting of the College Senate are in favor of presenting a certain opinion or proposal to the Board of Trustees through a special delegation, the chairman shall appoint three members of the Senate from those who favor the opinion or proposal to present it to the Board of Trustees."[2] This proposal was not adopted, and the Senate sent no special delegations to the Board.

Board-Faculty Communication

The faculty was kept fully informed about the activities of the Board of Trustees. This information was transmitted in a number of ways. President Sparling gave detailed reports to the Senate regarding Board actions. Some of these reports contained more details than did the Minutes of the Board meetings. Sometimes, even matters on which consideration was still pending were fully reported to the Senate.[3] In addition to these reports to the Senate, Sparling customarily included a complete report of the Board meetings in his monthly "President's Newsletter" which was distributed to the entire faculty. Any member of the faculty who felt he was not being told the whole story about

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[1] Interview with E. J. Sparling, December 14, 1970.

[2] Minutes of the Senate Meeting, March 16, 1949.

[3] For example, see the minutes of the Senate Meeting, January 16, 1957.

Board actions was free to consult the minutes of Board meetings which were on file in the president's office and in the Archives. Some faculty did avail themselves of this opportunity.[1]

In June, 1950, a joint committee of the faculty and the Board prepared a policy statement on "board-faculty relationships" (subsequently approved by both the Senate and the Board) which said that the faculty representatives on the Board were expected "to transmit to the faculty their reports on Board meetings in any way they or the Senate may determine."[2] Prior to that time formal reports to the Senate on Board actions were made only by the president and, occasionally, by the dean of faculties. Subsequent to that time "Reports of the Faculty Representatives on the Board of Trustees" has been a standing item on the agenda for all regular Senate meetings. From time to time, and particularly when there was a controversial issue under consideration (such as the question of the restoration of the Auditorium Theatre), the faculty members of the Board did report to the Senate. For the most part, however, they waived this opportunity for there was little or nothing for them to report. One faculty Board member explained why:

> Mr. Weisskopf stated that he had been asked by a number of faculty members why he and his colleagues on the Board never avail themselves of the opportunity of making a report, but since he has been a member of the Board he has come to understand how little there is to report. So many items are passed along to the faculty through the President's Newsletter and the President's report to the Senate that there is little or nothing for other Board members to add.[3]

Budget Making

With as much faculty participation in governance as there was at Roosevelt, it was not surprising that the faculty would want to participate in budget decisions. This desire was intensified about 1950 when the College, which had experienced very rapid growth in its first four years and which was largely dependent upon student tuition, began to feel the effects of the decline in G. I. enrollment and a particularly stringent budgetary period ensued. After a dramatic rise between 1945 and 1949, the College suffered a decline in its budgets starting in 1949-50 and continuing until 1953-54. It was not until 1956-57 that the budget was again at the level it had been at in 1948-49.[1]

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[1] Interview with D. Brennis, April 18, 1970.

[2] Report of the Committee on Board-Faculty Relations, June 7, 1950.

[3] Minutes of the Senate Meeting, March 14, 1951.

Prior to 1950 the annual budget of the College was prepared administratively by the deans and the division directors, reviewed and revised by these officers sitting collectively with the president in the Administrative Council, and submitted by the president to the Board for approval. However, in 1950, when it became apparent that there were increasingly difficult choices to be made about the allocation of resources, the faculty wanted to participate in that process. The Senate elected a six-member budget committee for the first time in January, 1950, and charged it to work jointly with the six-member Administrative Council in determining the budget and any budget adjustments. One member of the Senate proposed that the faculty trustees be on or work with this budget committee "so that they are thoroughly informed when the matter comes to a vote in the Board."[2] The Senate discussed the advisability of asking its Board members to constitute a budget committee. Some members of the Senate questioned the power of the Senate to direct the faculty trustees to act. A compromise was reached when the Senate voted to elect a six-member budget committee with two of the members to be chosen from among the faculty members on the Board.

This was the only instance of the Senate designating (either some or all) the faculty Board members to participate on, or constitute, a committee. Budget committees elected in subsequent years sometimes included one or more of the faculty

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[1] Controller's reports for the years 1945-46 through 1956-57.

[2] Minutes of the Senate Meeting, January 11, 1950.

Board members, but only in that year (1950) were they on by virtue of their Board membership. Moreover, in the several instances when the Senate was asked to select a committee to work jointly on some issue with a comparable committee from the Board, the Senate made its selection independently of its members on the Board. For example, a joint Committee on Board-Faculty Relations chosen in the Spring, 1950, consisted of five trustees (two of whom were members of the faculty) chosen by the Board, and two representatives of the Senate, chosen by the Senate.[1] These two representatives were later elected to be faculty Board members, but they were not on the Board at the time.

The joint faculty-administration budget committee worked fairly well during its initial year, although the faculty members claimed that they were not given access to all of the information which the administrative members had available to them.[2] The following Fall (November, 1950), the Senate again determined to elect a budget committee. To remedy the defect experienced the previous year, the resolution, as proposed, contained a directive that "the Committee is to have access to the same information as the Administrative Council uses in determining all budgetary items." President Sparling prevailed upon the Senate to accept an amendment with the deferential wording, "the Committee is to respectfully request access to . . . ," but he did not oppose the concept of working openly with a faculty-elected budget committee. In fact, he later reflected that the involvement of the faculty in the budget-making process was a development he welcomed and one which maintained the morale of the faculty at a time, during the Korean War period, when the institution had to undergo severe budget cuts.[3]

Although the twelve-member budget committee operated on the basis of majority vote, it was agreed early on that minority reports (on particular items or on the whole budget) could be presented to the Board. One such minority report submitted by the president was adopted by the Board in preference to the recommendations of the joint committee.[1] By and large, however, the committee submitted a single, if not unanimous, report.

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[1] Minutes of the Senate Meeting, April 19, 1950.

[2] There were frequent discussions in the Senate of the budget-making process (see, for example, the Minutes of the Senate Meeting, November 29, 1950).

[3] Interview with E. J. Sparling, December 14, 1970.

By means of resolutions passed on October 31, 1951 and January 16, 1952, the budget committee was made a permanent committee of the Senate. Furthermore, it was redefined so that it became de jure what it had been de facto: a single committee consisting of elected faculty representatives and ex officio administrative representatives rather than two separate committees meeting jointly. The Senate was eager to have as much influence in budget-making as possible and asked that the Board of Trustees accept this faculty-administration committee as a Board committee.[2]

The "legal" rationale for its request was that the budget prepared by this committee was submitted directly to the Board (without review by any intervening Board committee) and that the president, who chaired the committee, was an officer of the Board as well as of the University. The Senate's request[3] was endorsed by the Executive Committee of the Board to which it was referred, but was voted down by the Board which declared it to be contrary to the University Bylaws.[4]

Some faculty members of the Board and of the budget committee saw their role as one of looking out for faculty salaries. One example is illustrative. Under the agenda heading of "Reports of the Faculty Members of the Board" the Senate Minutes record the following:

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[1] Sparling's minority budget proposed larger expenditures than the committee's budget for the president's and the public relations' offices; it created quite a stir among the faculty (Minutes of the Board of Trustees, April 19, 1951).

[2] Minutes of the Senate Meeting, October 31, 1951.

[3] Minutes of the Executive Committee of the Board of Trustees, November 7, 1951.

[4] Minutes of the Board of Trustees, November 15, 1951.

> Mr. W [. . .] who is retiring from the Board after today's meeting wished to stress one experience. When the budget for last year was submitted no one recommended salary increases or offered comments as to why they were not recommended. Mr. W [. . .] submitted data to the Board to show that teachers' salaries here are below other salaries in this area. The Board members were impressed, and as a result a $100 increase was passed and put into effect. The past year was not much the worse for it, and we survived. This should teach us a lesson.[1]

One person who did seem to be "taught a lesson" by this was the president who was being indirectly criticized for not having advocated faculty salary increases that year (1953). Three months later, another faculty trustee reporting to the Senate "spoke of the excellent appeal which . . . [the president] had made to the Board on the question of faculty salaries. . . . " The appeal may have been lost on the lay members of the Board--this same faculty trustee expressed "regret that the Board attendance included so few of the public members of the Board . . ."[2]--but it was probably not lost on the faculty who kept careful watch on such matters.

For the most part, however, collective bargaining (if such it was) with regard to salaries went on in the budget committee rather than in the Board. At one early Board meeting, prior to the institution of the budget committee, when one of the faculty trustees raised the issue of the salary level for summer school (overload) teaching, one of the labor leaders on the Board indicated he would resign if the Board turned into a collective bargaining forum in which he was in the position of management.[3] The Minutes of that meeting record that after a long discussion there was "apparent agreement"

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[1] Minutes of the Senate Meeting, October 21, 1953.

[2] Minutes of the Senate Meeting, January 20, 1954.

[3] Interview with W. A. R. Leys, January 8, 1971.

> that members of the Board who happen to be members of the faculty are on the Board as individuals, exercising their individual judgment, and that they are not to be regarded as collective bargaining representatives, [and] that the present pattern of collegiate government is not one of collective bargaining between the Board and administrative officer's qua employer and the faculty qua employees. . . .

The Minutes further reveal that "some members of the Board expressed the opinion that they would not care to serve on the Board if such a pattern developed. . . ."[1] The pattern did not develop; the budget committee developed instead.

Responsibilities of the Board of Trustees

What were the principal responsibilities of the Roosevelt University Board of Trustees? Did the presence of the faculty trustees on the Board tend to get the Board involved in discussions of academic matters? These questions need to be examined in the light of the historical experience.

The faculty guarded their rights and privileges carefully. The role of the Board of Trustees, as they understood it, was simply to raise funds: academic decisions were to be made by the Faculty. This concept was one with which President Sparling agreed. In one of the early meetings of the Faculty he stated the issue as he saw it.

> The faculty, through the organization of the College, has the responsibility for determining what is to be taught in the College and how it is to be taught. The Board of Directors has the responsibility of raising funds. The only veto which they have on a policy is that funds might not be available for carrying it out.[2]

The Board members apparently entertained other ideas of their role, because nine months later the president reported back to the Faculty that

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[1] Minutes of the Board of Trustees, February 5, 1947.

[2] Minutes of the Faculty Meeting, December 11, 1946.

> the Board of Directors had some discussion as to just what their functions are. They felt that they should be useful to the institution beyond raising money. They moved that the faculty be asked whether they would welcome advice on educational matters from the Board, who would act as a committee to search for educational needs in the community and bring such to the attention of the faculty. They would work with the administration and members of the faculty to determine whether there were fields of service where the college could fill a need. They would intend that the committee, if provided for by the faculty, would contain faculty members as well as Board members.[1]

The faculty went along with the request from the president and the Board on that occasion and voted to authorize such a committee. Indeed, they probably felt they had little choice but to acquiesce to this request from the Board. However, no such Board committee was ever appointed and the faculty, not the Board, continued to determine curriculum and other educational matters. At another point the Board formulated the division of responsibility in this way

> The faculty and administration have the responsibility for internal academic and administrative operations. The responsibility of the Board is financial and for policy decisions.[2]

Exactly what was and what was not a "policy decision" was subject to occasional disagreement between the faculty and the Board. When, for example, the Board was faced with the question of whether the University should accept a particular foundation grant, a faculty member of the Board urged (successfully) that the matter of accepting or rejecting the foundation's offer be referred to the Faculty Senate.[3] When the Board of Trustees reorganized its committee structure in 1969 under the leadership of a new chairman, it established a committee on academic objectives and long range planning. On learning of the establishment of this committee one senior member of the University's administration who had been a leader in the struggle which brought autonomy from the YMCA declared his opposition to this with considerable feeling:

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[1] Minutes of the Faculty Meeting, September 17, 1947.

[2] Minutes of the Board of Trustees, June 7, 1956.

[3] Minutes of the Board of Trustees, October 25, 1962.

> The Board of Trustees must never control the academic objectives of the University. The historical background of this institution indicates that there should be no Academic Objectives and Long Range Planning Committee of the Board of Trustees. Academic objectives are the province of the faculty, and the Board should not be involved in setting academic objectives.[1]

Responsibilities of the Faculty Members of the Board

What were the responsibilities of the faculty members of the Board of Trustees? Did they differ from the responsibilities of the other Board members? Did the faculty members of the Board have any special obligations to the body which elected them? Answers to these questions help to define the role of the faculty trustees.

There was some division among the members of the faculty as to the degree to which the faculty trustees should be responsible or independent of faculty opinion. The majority were of the belief that faculty trustees should act independently, but not all agreed. For example, during one of the early meetings of the faculty there was concern expressed for maintaining an accurate and complete record of all debate. It was suggested that a stenographic record be kept. It was argued that such a record would be valuable, among other reasons, for the faculty members of the Board who could consult it in order to make sure that they accurately conveyed to the Board the feelings and ideas of the faculty. The majority did not think this was necessary or advisable.

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[1] Notes taken at a meeting of the Roosevelt University Administrative Council, March 4, 1970.

> Some discussion indicated a difference of opinion on the function of a faculty Board member. The conclusion was reached that the faculty members on the Board are not representatives of the faculty as such, but are individual Board members with the same powers of individual discretion as the rest. They report points of view of the faculty to the Board but are under no obligation to carry orders to the Board from the faculty or vote in any predetermined way. They are under no obligation to report back to the faculty because Board meetings are reported by the President. Stenographic reports of meetings would tend to muzzle members in their discussions and would consequently not be healthy.[1]

Although at that time it was decided not to have a stenographic record of Faculty meetings and not to have reports from the faculty trustees, at a later time such reporting was instituted (as has been noted) and the debate in Faculty Senate meetings was tape-recorded.[2]

A related question arose when issues which had been debated by the Faculty or by the Senate were taken to the Board for approval or ratification. Were the faculty members of the Board obliged to support before the Board all measures that had been approved by the faculty? What obligations or constraints, if any, were placed on the faculty trustee who had unsuccessfully opposed an issue in the Senate when that issue came to the Board?

One member of the faculty stated that when a measure "was passed by the faculty it became a mandate to the faculty members of the Board to present it to the Board without opposing it."[3] Not all members of the faculty felt this way however. To the consternation of some of his faculty colleagues, one faculty trustee objected in a Board meeting to a lack of clarity in a constitutional amendment which had been proposed by the Faculty. When the Board returned the matter to the Faculty for "further consideration," some questioned the right of either the trustee or the Board to challenge the Faculty's decision.[1]

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[1] Minutes of the Faculty Meeting, November 9, 1946.

[2] These tape recordings were made during the first few years after the change from Faculty to Senate governance. They were undertaken on the grounds that members of the faculty not on the Senate and not able to attend Senate meetings should be able to hear what went on in meetings. After several years these tapes, which were used little or not at all, became an encumbrance. The Senate decided that its Minutes were an adequate record and that the tapes should be erased and used for other purposes.

[3] Minutes of the Faculty Meeting, April 16, 1947.

Occasionally other faculty Board members saw fit to oppose in the Board issues which had been approved by a majority of their colleagues in the Senate. Most, however, either did not find themselves in this position or felt that the discreet or appropriate time to debate issues was with their colleagues in the Senate, not at the Board level. The exceptions, although infrequent, were memorable. Two instances in which the faculty trustees opposed action on matters which had been approved by the Senate were the proposal to change the Department of Education to a School of Education and the amendment to the constitution to change from elected to appointed department chairmen.[2]

However infrequent, these exceptions have been seen by many of the participants as raising troublesome questions. From the perspective of the faculty trustee, his freedom to oppose an issue in the Board when he believed it to be a bad policy was the only real measure of his independence as a Board member. Yet he knew that such opposition might be seen by some as indiscreet, disloyal, or useless. The problem was compounded when the issue was one which had the strong support of the president and the administration in addition to the majority support of the Senate. In such circumstances the Board often perceived the issue as if it were a vote of confidence for the president. This tendency to support the president was particularly true for the lay trustees who, when confronted with a subtle point of internal University organization on which the president had taken a stand, found it difficult not to support him, simply out of loyalty. Indeed, should a president lose even a few such votes his leadership ability would be seriously challenged. The president was put in a difficult position when such situations arose, making him also susceptible to viewing it as a test of loyalty and confidence.

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[1] Minutes of the Faculty Meetings of January 17 and February 26, 1947, and Minutes of the Board of Trustees, February 5, 1947.

[2] Notes taken at a meeting of the Board of Trustees on May 18, 1967.

Some members of the faculty and some of the lay trustees saw such minority opposition by the faculty trustees as the measure of the freedom in the system. An early proposal to have all the faculty members of the Board stand for a vote of confidence each Spring was defeated by the Faculty.[1] Such a measure might have curtailed the expression of dissident viewpoints among those faculty trustees who wanted to continue in office. But there was little support for the measure among the faculty.

Because the opposition of faculty trustees to policies supported by the administration and approved by a majority of their faculty colleagues did raise such troublesome questions in the minds of Board members, it is not surprising that there have been so few instances over the University's twenty-five year history. Moreover, an examination of the Minutes of Board meetings and interviews with faculty and lay trustees reveal that there was no clear-cut example of a majority of the Board ever having sided with a faculty trustee or trustees against the president or the Senate. The nearest instance of such opposition was the compromise arrived at in the proposal to establish a School of Education.

This proposal originated in the Department of Education and won the support of the dean of arts and sciences and the dean of faculties. It was introduced to the Administrative Council which gave it majority, but not unanimous, support. The Faculty Senate considered the proposal and the majority of the Senate supported it.[2] But the issue and the manner in which it was presented (at a special meeting called between semesters when many of the faculty were away) engendered strong feelings and some determined opposition. The issue was presented to the Board which devoted several meetings to it. The compromise agreement ultimately worked out was that the proposal was agreed upon by the Board in principle subject to raising special funds for its implementation.[1] Furthermore, a deadline was set for raising these funds. Although the deadline was extended when the funds were not raised, the proposal to establish a School of Education was lost by default.

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[1] Minutes of the Faculty Meeting, March 3, 1948.

[2] The vote in the Senate was twenty-two to eleven in favor of establishing a School of Education (Minutes of the Senate Meeting, June 23, 1949).

It is interesting that in this case in which the "dissidents" came closest to winning an outright victory, the administration was itself divided. The opposition leadership came from an individual who was a member of the Administrative Council (in which forum he opposed it), a member of the Senate (where he also opposed it) and, at the time, a faculty-elected member of the Board (to which he was able to carry his opposition). It is a measure of President Sparling's tolerance for dissident opinions and his belief in democratic governance that he permitted members of his administration to oppose him (or issues which he supported) before the Board.[2] This happened on a number of occasions, although never with as much success as in the School of Education issue. One point on which President Sparling and the administrators and faculty trustees who were interviewed for this study were in agreement was that in no instance did he attempt to influence or change their vote. At no time did he call in any of the faculty trustees prior to a Board meeting to discuss an issue or to request their support for a proposal. One thing clear in the School of Education issue and in other major issues that were to follow (such as the Auditorium Theatre issue) is that the most challenging opposition to the president within the Board came from administrative officers who were serving as faculty-elected trustees rather than from trustees who were members of the teaching faculty.

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[1] Minutes of the Board of Trustees, January 18, 1950.

[2] Critics of Sparling have suggested that the existence of such opposition was a sign of weakness as an administrator and revealed a lack of leadership and firmness.

Role and Relationships of the Faculty Trustees

Role of the faculty trustee in fund raising

Since it was agreed that one of the important, if not the primary, function(s) of the Board was fund raising, what was the faculty trustee's role in this area of responsibility? Since the time they had turned down Sparling's offer to let them have 50 per cent of the Board membership because they wanted outsiders on the Board who could raise funds more effectively, the faculty had taken a despondent view of their own ability to perform this Board responsibility. There were individual differences on this matter, and some faculty members of the Board gave of their own funds and solicited the contributions of others. Other faculty members of the Board shied away from this activity, however. Some did so out of a sense of principle--that it was incorrect for faculty trustees to raise funds since their contribution to the institution was made in other ways--and some out of a feeling of modesty (real or imagined) regarding their circumstances and those of their acquaintances. This matter was rarely discussed openly in Board meetings. One such discussion was reported to the Senate by President Sparling.

> There was some discussion [in the previous Board meeting] of the possibility of faculty board member participation [in the University's fund drive] as solicitors. The problem which such participation raises from the point of view of the faculty member as well as from the point of view of maximum effectiveness in terms of contributor response was also reviewed. In the final analysis the matter was left to the discretion and desire of the individual faculty Board member.[1]

As long as it was thought that no distinction should be made between the faculty and the lay trustees with regard to their duties, responsibilities, or degree of autonomy the refusal of some of the faculty trustees to participate fully in the fund raising activities of the Board was a source of some tension and embarrassment.

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[1] Minutes of the Senate Meeting, December 18, 1957.

The first recognition in a Board meeting that there might be a difference in the type of contribution that might best be made from the faculty and the lay trustees came relatively late, in 1962. The chairman of the Board suggested that the Board establish a Finance Committee "with the primary responsibility of raising funds for operation, equipment and endowment." He proposed the names of fourteen of the lay trustees for membership and stated that he believed the Board should organize itself "so as to make a clear distinction between every member's role as a 'developer' and his role as a fund raiser." In seconding the motion, one of the faculty trustees "expressed the opinion that it was a realistic analysis which recognized areas in which both public members and faculty members could make their special contributions."[1] Many have perceived a gradual shift in the Board to this point of view.

Status of the faculty trustee

The status of the faculty trustee can be considered from the aspect of his colleagues on the Board and from those on the faculty. As long as the trustees were all considered to have the same responsibilities, those members of the Board who did not significantly participate in fund raising tended to be regarded by the others on the Board as less valuable members. This has seemed by some to be the case with the faculty members. However, as the concept of the role of the trustee has changed to encompass different responsibilities for different trustees, the contribution of the faculty trustees has risen in esteem. Nonetheless, fund raising is still seen as perhaps the single most important function of the Board and there is a tendency for Board members to hold in highest esteem those who have contributed or raised the largest sums for the University.

To their colleagues on the faculty the faculty trustees have been seen as ardent and articulate spokesman of the faculty viewpoint and as people of judgment who could be counted upon to vote wisely on issues without specific instructions. The faculty trustees tended to be highly respected among the faculty, influential in faculty debate, and called upon from time to time to serve on other committees or in other ways.

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[1] Minutes of the Board of Trustees, December 11, 1962.

However, except for the one instance (already cited) when the budget committee was first being formulated, the faculty trustees were not used as a group for any other purpose either by the Senate or by the president. Their membership on the Board did not automatically qualify them for any other function. The Senate occasionally elected some of the faculty Board members to positions on various committees (for example, the budget committee and the Executive Committee), but the membership of these committees did not coincide with the membership of the faculty trustees. Similarly, when the presidents of the University have sought the wisdom and advice of the faculty on issues they consulted with individuals, some of whom may have been faculty members of the Board. But the faculty trustees were not on any occasion invited as a delegation to meet with the president, either socially or to discuss issues.

On at least one occasion, membership on the Board disqualified the faculty trustee from participation on a faculty committee. In 1961 the University was beginning to feel the uncertainties of a president who was approaching retirement age (but who had announced no specific plans) and an impending expansion of the state system of higher education in the Chicago metropolitan area. The latter was a particularly worrisome threat and there were some who wondered if the challenge of this new competition could be withstood by a private institution whose clientele was similar to many who attended the low-tuition state-supported institutions in other urban areas. The Senate voted to have its chairman appoint a faculty committee "to help the President and the Board in planning how to handle this future situation."[1] In appointing this committee the chairman of the Senate said:

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[1] Minutes of the Senate Meeting, February 15, 1961.

> It seems to be the opinion of those consulted that this committee should consist of the younger members of the faculty and that it should not contain either members of the administration or faculty members of the Board. These persons have an opportunity to express their opinions in various other groups. This idea has been adhered to in choosing this committee.[1]

This was a curiously populist method of obtaining faculty wisdom about long range plans for the institution. The faculty trustees were seen as part of the establishment at that point and therefore not truly representative of "grass roots" faculty opinion. The appointment of a major planning committee on this basis seemed to be within the tradition of governance at Roosevelt University and there was relatively little comment about it.

As it turned out, this committee was to play an important role in the history of the institution. Their report contained a number of suggestions which were later implemented and brought to fruition--including advice on matters of curriculum and a recommendation to build a dormitory and student-union building. The most startling recommendation at the time, and that placed first in priority by the committee, was a recommendation that "the Senate pass a resolution in favor of the immediate establishment of a committee, with faculty representation, to select a successor to the President."[2] This was the impetus which caused the Board to establish a presidential selection committee the following fall.[3]

Personal relationships

One aspect of the experience of having faculty members serve on the governing board which is not revealed in the documentary records but which has been commented on directly or indirectly by a number of the Board members relates to the personal relationships which developed between members of the Board, particularly between faculty and lay members. It was natural that as people attended meetings together and worked on common problems that they would develop personal relationships. It may well be that the growth of informal relationships between members of a group such as a governing board is a measure of its effectiveness and of the ability of its members to work together. The development of such relationships between members of the Board, and between trustees and faculty seems to have provided a basis for their mutual understanding.

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[1] Memorandum from H. H. Sheldon dated February 27, 1961.

[2] Report of the Senate Committee on the Future of Roosevelt University, Hermann Bowersox, chairman, appended to the Minutes of the Senate Meeting of May 17, 1961.

[3] Minutes of the Board of Trustees, November 9 and December 20, 1961.

Some observers have suggested that there is a negative aspect to the development of these relationships. Although ordinarily the existence of such relationships did not conflict with the authority of the president as the official channel of communication between the faculty and the board, in times of crises, and particularly in crises that involved the president in some central way, there was an increase in the amount of communication between faculty and lay members of the Board. Such communication was especially noted between certain of the administrative officers who were faculty-elected members of the Board and the leaders or officers of the Board.

Although apparently not a frequent occurrence, there were instances when a lay member of the Board or a Board officer, distrusting the president's judgment on a matter, or wanting to get additional background information would call directly a member of the administrative staff whom he knew on a first name basis from Board meetings. There were other instances when members of the administrative staff who differed with the president's judgment on certain matters would telephone or meet with members or officers of the Board. This kind of contact, around the president, clearly insubordinate (if not impermissible) in other settings, was seen as acceptable by individuals who had developed a first name relationship by having attended meetings together as members of the same board and by having worked together on the same problems. When this kind of contact occurred it was always a challenge to the leadership and authority of the president.

Behavior of this sort raises the most serious questions about the practice of faculty participation on a governing board. On the other hand, there appear to have been occasions during the history of Roosevelt University when the best interests of the institution warranted such contacts.

Board Issues in Which the Faculty Members Were Significant

How significant were the faculty members on the Board? Were there issues in which the faculty members of the Board played a decisive role? It has been stated that there were no issues brought to the Board on which the faculty and the lay trustees were clearly divided. However, in a few instances the votes and the persuasion of the faculty members clearly influenced the outcome.

Four such instances were the decision by the Board to purchase the Auditorium Building (May 28, 1946), the decision regarding the establishment of a School of Education (January 18, 1950), the decision to authorize the establishment of the Auditorium Theatre Council as the agency to restore the Auditorium Theatre (February 18, 1960), and the decision to accept the resignation of the second president of the University (December, 1964). The decision concerning the School of Education has been mentioned. The decisions relating to the Auditorium Theatre and to the president's resignation are discussed in the following chapter.

The decision to purchase the Auditorium Building is acknowledged by the participants to be one in which the faculty members of the Board played a decisive role. This decision was made in the Spring of 1946 when the new college, barely a year old, was just beginning to stabilize after its financially precarious inception. Some members of the Board (including at least one of the faculty members) considered it to be a risky investment that would consume too much of the institution's resources and imperil its future. It was the intense enthusiasm for the purchase of this building to be the home of the College and, above all, the willingness expressed by President Sparling and Joseph Creanza[1] to loan the College all the funds they could raise by mortgaging their homes, that convinced the other members of the Board to agree to the purchase.[2] President Sparling later cited this incident, as an example of how the Board's generosity and largesse was extended by the willingness of the faculty to put up funds for something in which they believed, when he asked the faculty to pledge support to a University fund-drive.[3]

Appraisals of the Experience

From time to time Roosevelt University's experience of having faculty members on its governing board has been appraised by individuals who have had some contact with it. Perhaps the earliest appraisal was made by Dean of Faculties Wayne A. R. Leys, after the Board had been in existence for about six months. Leys' evaluation was that:

> Faculty members were not elected to the board of directors as a mere gesture in the direction of democracy. An examination of the minutes of board meetings will convince anyone that democratic control is a living reality in Roosevelt College. The instructors who were elected to the board participate as legislators without regard to their rank. This has not destroyed the lines of administrative authority in the execution of policies adopted by the board. Thus we have proved that in an educational institution efficiency can be combined with democracy.[4]

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[1] Creanza was at that time the director of the School of Music and a faculty-elected member of the Board.

[2] See the Minutes of the Faculty Meetings of May 20 and 29, 1946, and the Minutes of the Meetings of the Board of Trustees of March 5, April 9, May 28, August 5 and September 20, 1946. The building was purchased in two parcels, the first acquired on August 5, 1946, the second on February 5, 1947. In the second purchase as well as the first, the enthusiasm of the president and some of the faculty members of the Board prevailed over the more financially cautious approach of some of the other members.

[3] Minutes of the Senate Meeting, November 20, 1957.

[4] Interview reported in Roosevelt College News, I, No. 1 (September 28, 1945), p. 3.

Not everyone was as enthusiastic. The accreditation review teams sent by the North Central Association, while not directly critical of faculty trusteeship, have expressed some skepticism. Although no copy of the initial (1945-46) accreditation report has been found, President Sparling referred to it in a Faculty Meeting and said that the report had been critical of "the make-up of our Board as representing too large a proportion from one group of citizens, that is educators."[1] This was an apparent reference to the faculty members serving on the Board.[2]

A decade later, in 1955, the North Central Association examiners were also critical of the governing structure. Their report included the following observations:

> The members of the faculty at Roosevelt University participate in all phases of the administration of the institution to an extent which greatly exceeds that found in most colleges and universities, and there is some question regarding the possibility of effective administrative leadership under this set up.
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> . . . .
>
> The faculty control of administrative policies may have reached a point where the effectiveness of administrative leadership is seriously curtailed.[3]

It is not clear whether the examiners were criticizing a particular element of faculty participation (e.g., faculty on the Board, the budget committee, votes of confidence and confirmation, the grievance procedure, elected department chairmen, etc.) or whether it was the aggregate of these policies and procedures which troubled them.

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[1] Letter from the North Central Association, dated April 3, 1946, as referred to in the Minutes of the Faculty Meeting, April 8, 1946. The report of the visitation committee is quoted extensivel by Barnard, "Trailblazer of an Era," pp. 66-68.

[2] After hearing about Roosevelt's governing structure, one member of the North Central Association Board of Review is remembered to have asked whether Roosevelt was a proprietary institution (interview with W. A. R. Leys, January 8, 1971).

[3] Earl V. Moore, Asa S. Knowles, Daniel D. Feder, and C. W. Kreger, "Report to the Board of Review of the Commission on Colleges and Universities, North Central Association of Colleges

President Sparling responded to this criticism by making a vigorous defense of the University's governing structure. He described each of the procedures that provided for faculty involvement in governance and then stated:

> We who have been through the mill of democracy in higher education at Roosevelt University were somewhat surprised to find listed as a possible weakness what the faculty, the administration and the Board of Trustees have considered perhaps our greatest strength. . . . Roosevelt University was founded as a laboratory of democracy in higher education and was organized to insure as far as constitutionally possible complete academic freedom for the faculty and equality of opportunity for all students. . . . The constitution together with the bylaws of Roosevelt University provide for the widest participation in policy making yet to be developed in an American university. . . . It is most difficult to assess the actual value of such widespread faculty participation in policy formation. . . . However, those who have been over the ground . . . believe that the record is impressive--especially in view of the retreats from academic freedom of some of our greatest universities. . . . When faculty participation in policy forming is begun it leads to further participation rather than less. This must mean that it is a valid process. Secondly, it aids the institution in the maintenance of academic freedom and equality of educational opportunity for all. . . . A third advantage--the inclusion of faculty in the vital decisions has enabled Roosevelt University to grow and develop without the aid of endowment. There is no doubt in my mind that faculty participation in policy making has produced a more dedicated community of scholars who accept the aims and objectives of the institution as their own and are willing to make the sacrifices of salary and facilities for the achievement of the educational purposes of the University. . . .[1]

This defense of faculty involvement in the governance of Roosevelt University was evidently acceptable to the North Central Association because it awarded the University accreditation as a master's-degree granting institution, subject to a reexamination at the end of a two year period.

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and Secondary Schools, [concerning] Roosevelt University, Chicago, Illinois, January 13 and 14, 1955," pp. 7 and 38.

[1] "A Summary Report to the Board of Review of the Commission on Colleges and Universities, North Central Association of Colleges and Secondary Schools, March 21, 1955," pp. 12-17.

The examiners report in 1957 was more sanguine about the faculty involvement in policy making. It discussed President Sparling's response to "this purported weakness." After describing the composition and authority of the governing board which included representatives elected by the faculty, the examiners concluded:

> There seem to be certain fundamental advantages to such wide faculty participation. Judging from the available empirical evidence, this system of administration seems to work. Undoubtedly, it aids the institution in maintaining academic freedom, while at the same time it results in a faculty which accepts the aims and objectives of the University as its own. . . . It would seem then that while the administrative organization of Roosevelt University is somewhat unique, the University is administered effectively in a manner satisfactory to the administration and faculty alike.[1]

Internal assessments of the experience of having faculty members serve on the governing board were made from to time. One such endeavor was the "Report of the Committee on Institutional Evaluation and Appraisal" which was prepared in 1951 under the direction of George W. Hartmann, then dean of the School of Arts and Sciences. Chapter V of that report, "The Government of Roosevelt College," was written by Professor of Political Science George H. Watson. Professor Watson raised certain questions regarding the Board of Trustees that reflected the current concerns of the faculty.

> Should the board have a majority of faculty members or even be composed exclusively of faculty members, instead of its present majority of public members, in order to insure faculty self government? Should the board as constituted freely exercise its own judgment in overruling faculty (Senate or Executive Committee) decisions; should it overrule them only when they are "non-academic" by some established definition; should it overrule them when the board "cannot see where the money is coming from;" should it attempt to define the authority of the President on the one hand and the Senate on the other to cover all matters, delegate this divided authority and rubber-stamp every decision so long as it is made

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[1] Ronald B. Thompson and Asa S. Knowles, "Report to the Board of Review of the Commission on Colleges and Universities, North Central Association of Colleges and Secondary Schools, January 14 and 15, 1957," p. 3.

> by the proper agent . . . ? How much personal responsibility should public board members take for raising money for the college? . . .[1]

Professor Watson did not attempt to answer these questions, but Dean Hartmann expressed his own views on the first of them (the question of the Board's composition). In his "Summary of Recommendations" in the chapter on "Next Steps in Development," Hartmann suggested that

> The Board of Trustees could profitably consider changing the number of Senate elected faculty trustees from six to twelve, thereby giving the teaching staff a 50-50 parity with the public members who now constitute three-quarters of the Board.[2]

This evaluation and appraisal was written at a time when the faculty was fighting to establish a role for itself in the budget-making process. These questions and recommendations reflected their dissatisfaction with that matter. There is no record of the Board's having considered Dean Hartmann's suggestion about increasing the percentage of faculty members on the Board, but the Board did acquiesce to the establishment of the budget committee not long thereafter.

A survey of faculty opinion was conducted by Dean Hartmann in 1951 in conjunction with the work of his committee. He received thirty-three usable replies to his questionnaire, from a faculty and staff of 125 members. In response to a question which asked, "What are the wrong or undesirable features of Roosevelt College?" some members of the faculty responded that the "public members of our Board of Trustees fail to assume enough responsibility." This response may have meant that the respondent did not believe the public members raised enough money for the institution. In answer to the question: "What are the right or valuable distinguishing features about the college as a whole?" Some members of the faculty indicated "the prominence of faculty representatives on the governing board."[1] There was no attempt made to reconcile these two beliefs, i.e., that the faculty members should play a dominant role on the Board and that the public members should assume more responsibility. In fact, there has apparently been no open recognition of the possibility that the prominent role played by the faculty members on the Board was itself a factor related to what some perceived as a failure of the public trustee to assume a greater share of the responsibility.

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[1] George H. Watson, "The Government of Roosevelt College," chap. v of the "Report of the Committee on Institutional Evaluation and Appraisal," George W. Hartmann, chairman, December 19, 1951, pp. 2-3.

[2] George W. Hartmann, "Next Steps in Development: Target 1955-60--Summary of Recommendations," op. cit., chap. x, p. 4.

When President Sparling was in his last semester of office prior to his retirement, he was asked by the chairman of the Board, Lyle M. Spencer, to evaluate his experience with the Roosevelt University governing structure and to indicate problem areas that should be studied and perhaps changed. On the basis of President Sparling's suggestions, and on Chairman Spencer's belief that a change in administration presented a good opportunity for a fresh look to be taken at Roosevelt University's governing patterns, the management and educational consulting firm of Cresap, McCormick and Paget was engaged to conduct a study of the administration of Roosevelt University.

One of the matters which Sparling indicated was in need of study was faculty membership on the Board of Trustees. He outlined some of the issues about faculty membership on the Board which raised questions in his mind.

> A. Their election with respect to faculty interest in general and group interest in particular.
> B. The by-passing of administrative legislative decisions and recommendations by faculty Board members.
> C. The effectiveness of faculty Board members in strengthening the financial foundations of the university and enlargement of community contacts in relation to fund-raising.
> D. Review of activities of faculty Board members with respect to votes of confirmation and the adoption of plans

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[1] Hartmann, "The College as Seen by its Faculty," op cit., chap. vi, pp. 6 and 32.

for financial development.
E. The opposition of faculty Board members to the acceptance by the Board of Trustees of development grants.
F. Term of office.
G. The number of faculty members on the Board of Trustees, if any.[1]

Because of the concerns expressed by Sparling it was not surprising that the consultants from Cresap, McCormick and Paget inquired into the issue of faculty membership on the Board of Trustees, among other matters. As one result of their study they suggested that membership on the Board put the faculty in an "inconsistent role" and weakened the position of the president. They recommended that the practice of electing faculty representatives to the Board be eliminated.[2] As might be expected, this recommendation was not met with much enthusiasm by the faculty and the report became, for a time, a rather controversial matter.

The recommendations of the Cresap, McCormick and Paget report were highly conservative--conservative in the sense that they tended to recommend changes toward the predominant patterns of governance in American higher education and away from the special or unusual aspects of governance which were characteristic of Roosevelt University. Altogether there were over 100 specific recommendations contained in this report. Many of these were helpful recommendations related to organizational and administrative procedures rather than to basic governance policies and were implemented without controversy. It was recognized by the faculty and the Board, however, that to attempt to implement the major policy recommendations, such as the one regarding the elimination of faculty participation on the Board, would not only embroil the institution in deep controversy but, if successful, would fundamentally change the character of the institution.

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[1] Memorandum from E. J. Sparling to Lyle M. Spencer, Re: Items of Organization, Programs and Procedures at Roosevelt University to be Studied, November 20, 1963.

[2] Cresap, McCormick and Paget, "Roosevelt University, Reconnaissance of Organization and Administration," August, 1964, pp. 10-11. (Multilithed.)

There were few, if any, who recommended this course. After studying the Cresap Report recommendations, implementing some and rejecting others, the Board moved on to other matters and faculty members continued to serve on the Board.

Summary and Discussion

Faculty trustees originally accounted for five of the twenty-one members of the governing board of Roosevelt University. These five were elected by the faculty in the fall for one-year terms by means of proportional representation. This procedure was adopted because it was thought to be the most democratic and egalitarian way for the faculty to choose its trustees. Every member of the faculty had an opportunity to be elected; minority groups within the faculty were able to elect representatives who reflected their point of view; and the faculty was annually able to evaluate the performance of its trustees and determine whether they should be re-elected.

Within the first three years of the institution's history it was recognized that this procedure for the election of faculty trustees had serious weaknesses. If the five faculty representatives and five (of the fifteen) lay trustees who served for staggered three-year terms were to change every year, then potentially ten of the twenty-one members might be replaced in any single year. One-year terms of office did not promote the continuity of experience which seemed important to a well functioning board. Elections by preferential ballot or with secret nominations seemed to many to promote factionalism within the institution. Holding these elections in the fall seemed to put the new members of the faculty at a disadvantage. Consequently, between 1945 and 1948 the University Bylaws and the Constitution of the Faculty were amended so that the faculty came to elect their trustees in May, by secret ballot, with open nominations and plurality vote, for staggered three-year terms.

As the Board increased in size the number of faculty members was increased to six and then to seven so that the faculty would retain approximately the same percentage of total board membership (24 per cent). In 1961 the Board was increased from thirty to forty-one members and the faculty's recommendation that the number of their representatives remain at seven was accepted. The Board increased its size to provide additional places for prominent or wealthy individuals whose benefaction would help the institution. The faculty, while wanting to retain its influence, recognized the need for increasing the number of laymen on the Board.

In a split vote, the Board approved a recommendation of the Faculty Senate that the vice-presidents and the dean of faculties be made ex officio members of the Board without vote. This measure was not incorporated into the Constitution or the Bylaws, however, and has not been applied to the successors of those who held these offices at the time.

The Executive Committee of the Board originally consisted of seven members (including the president and the chairman of the Board) one of whom happened to be an administrative member of the faculty. On the recommendation of the faculty, the Board elected a teaching member of the faculty to the Executive Committee in 1950 for the first time. Subsequently (in 1951), it was made a matter of Board policy to elect not less than two faculty trustees to the Executive Committee. At the same time, however, the Executive Committee was increased in size from seven to nine members. In 1970 the authorized membership of the Executive Committee was increased to eleven with no change in the number of faculty trustees.

Actual participation by the faculty members in Board affairs was considerably greater than indicated by the percentage of their membership to the total authorized Board membership. The faculty, unlike the lay trustees, invariably elected its full complement of members and promptly filled any vacancies. Moreover, the faculty members of the Board attended Board meetings with much greater regularity than did the lay members.

Between 1945 and 1970 the faculty elected thirty-six individuals to membership on the Board. One-third of these members held full-time administrative positions in the University, the other two-thirds were divided between the three Colleges in numbers approximately equal to the proportion of full-time faculty in these units. The average length of service of the elected faculty trustees was 4.5 years, compared with an average of 7.1 years for the lay trustees of whom there had been seventy-one.

The Bylaws specified the president as the official channel of communication between the faculty and the Board. Generally, this procedure was respected. Occasionally some members of the faculty not on the Board attempted to circularize or otherwise contact members of the Board, but this was rare. Occasionally, too, some of the administrative and faculty members of the Board contacted officers of the Board without clearing with the president. Such communication was generally an indication of an abnormal or crisis situation and was a consequence of the development of a first-name relationship between individuals who had become acquainted by serving together on the Board.

The president made full reports of Board meetings to the faculty in his monthly newsletter and in the Senate. Since 1950, the Senate agenda has contained an item called "Reports of the Faculty Members of the Board." Usually there was little for the faculty representatives to report beyond what the president had already communicated, and this provided a forum which was used periodically to convey comments and interpretations of Board actions to the Senate.

Budget-making was always a difficult process in an institution that had chronically scarce resources. This was particularly true of the period following the Korean War when there was a marked slump in enrollment. In 1950, the Senate elected a committee of faculty to work with the administration in the formulation of the budget. Although at the time this was regarded by some members of the administration as an intrusion by the faculty into an administrative prerogative, this committee came to be seen by the president and the deans as an important factor in the maintenance of faculty morale during difficult years. Although the Board itself never became a forum for collective bargaining between the faculty and the administration, the faculty members of the budget committee, and to a lesser extent the faculty members of the Board, frequently used their positions to press for increases in faculty salaries.

The Board and a majority of the faculty were of the belief that the faculty trustees were free to vote according to their best individual judgment or conscience, as were the lay members. This independence occasionally led to situations where faculty trustees opposed proposals which had the support of the Senate and/or administration. In no instance did the Board give outright support to such opposition, although one such matter, the proposal to establish a School of Education, ended in a compromise which later became a de facto defeat for the Senate and the administration. On no issue were the faculty and the lay trustees clearly divided. From time to time, the Senate made recommendations to the Board; occasionally, these were questioned by the president or by individual trustees. Rarely, however, did the Board openly or directly oppose a recommendation of the Faculty or Faculty Senate.

The experience of having faculty members serve on the governing board of Roosevelt University has been evaluated by various individuals and groups. Some critical remarks were made by a review team from the North Central Association in 1955, although in 1957, following a strong defense of Roosevelt University's policies for the involvement of faculty in decision making, another review team indicated that the University appeared to be administered satisfactorily. A faculty evaluation in 1951 suggested that more faculty trustees be added to the Board. An evaluation by a consulting firm in 1964 suggested that faculty trustees be removed from the Board. Neither of these recommendations was given much attention or taken very seriously by the Board which appeared to believe that the existing system was functioning well enough.

CHAPTER VI

FACULTY TRUSTEESHIP DURING TWO PERIODS OF CRISIS

One means of assessing the functioning of an institution such as faculty trusteeship is to examine how it operates during crises. At such times, when feelings run high, there is an exaggeration of the kinds of effects which might operate less visibly in more normal times. Two such crisis periods have been studied, the one which occurred with the University's decision to approve the restoration of the Auditorium Theatre and the one which occurred with the resignation of the University's second president. Both of these matters involved the Board of Trustees in a central way. Each required a decision by the Board.

A college or university experiences a crisis as a time of unusual instability or tension caused by excessive stress which may be internal or external in origin and which endangers or is felt to endanger the continuity of the institution or of key individuals within the institution. Whether a given series of events constitutes a crisis is a subjective decision, therefore, and depends upon how the individuals involved assess the experience. There is fairly common agreement among the faculty, the administration and the governing board of Roosevelt University that these two events were, in fact, perceived and experienced as crises.

The Decision to Restore the Auditorium Theatre

Background

Although the decision to restore the Auditorium Theatre was made by the Board of Trustees during the period from 1958 to 1960, the origins of that decision reach back to the very beginning of the institution. One of the first major problems which had to be solved by the founding Board in the Spring of 1945 was where to locate the new college. This was not an easy decision, both because of the scarcity of funds and because of the scarcity of space during what was still a war-time period. Moreover, there was a strong feeling that the college was to be urban and commuter-oriented as Central YMCA College had been and ought to be located in downtown Chicago as that institution was.

A number of buildings were considered for possible purchase by the Board before it determined to acquire a building at 231 South Wells Street. One of the first buildings to be considered as a possible home for the college was the Auditorium Building. It was first proposed at the Board meeting on May 8, 1945. It was again discussed at the meetings on May 15 and May 30, 1945. Prices were quoted; its desirable size and location were mentioned; and President Sparling recommended its purchase. However, other members of the Board were apprehensive about taking on so large a building and so large a debt and urged caution. In July, when the building at 231 South Wells Street was identified as available and was purchased, Sparling's ideas about the Auditorium Building as a home for Roosevelt College were put aside, but only temporarily.[1]

The Wells Street building proved to be inadequate in much the same way as the YMCA building had been. It was too small, there was no assembly room which could hold large meetings of the student body, and it had to be shared with other occupants. The Auditorium Building with its vast size, its enormous theatre, and its famous history seemed alluring. By the following March, President Sparling again began discussing with his Board the possibility of acquiring the Auditorium Building for Roosevelt College.[2]

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[1] Minutes of the Board of Trustees, May 8, May 15, May 30, July 12, 1945.

[2] Minutes of the Board of Trustees, March 5, 1946.

The Auditorium Building was built in 1889 to house a hotel, a theatre, and commercial offices. A ten-story, block-long building, it was one of the world's first "sky-scrapers." Its tower rising seventeen stories was the tallest structure in Chicago at the time. In an era of opulent buildings, the quantities of marble and gold-leaf used in its construction were thought exceptional. At the time of its construction it was regarded as something of an architectural marvel. Subsequently, this judgment was confirmed by architectural historians who have praised the acoustics of the 4,000 seat theatre, the ingenious mechanical devices (including an early form of "air-conditioning") engineered by Dankmar Adler, and the intricate ornamentation and stained glass of architect Louis Sullivan. The building has in recent years been designated a Chicago Landmark by one commission of the Chicago City Council and nominated for this distinction by another; it has been included in the Historic American Buildings Survey conducted by the federal government, and it has been entered in the National Register of Historic Places by the U. S. Department of the Interior. The Auditorium Theatre, particularly, figured prominently in the cultural life of Chicago. It was the site of the Republican national convention in 1888 and of numerous opera and ballet performances during the last decade of the nineteenth and the first-third of this century.

By 1940 both the hotel and the theatre had fallen on hard times and had closed their doors. The combination of the depression and the competition from newer hotels and from Samuel Insull's Opera House had proven too much for the building to remain viable. It was taken over by the City of Chicago at the beginning of World War II and turned into a serviceman's center. The elegant ornamentation was painted over, the theatre was turned into a bowling alley and recreation center, and the hotel rooms were used to quarter G. I.s in-transit or on furlough. By the end of the War, this granite and iron structure was neglected and abused, but still standing.

Its location in the heart of downtown Chicago over-looking Grant Park and Lake Michigan, its large number of hotel rooms which could be converted to classrooms and offices, its enormous theatre, and its relatively modest selling price made the Auditorium Building seem very attractive to President Sparling. Some members of the Board continued to be reluctant to spend so much money for a building almost sixty years old which was not designed to house a college, would require extensive remodeling to be made usable and to meet City building and fire codes, and which contained more space than the College was then able to use. However, President Sparling and Joseph Creanza were strong in their determination and managed to convince the Board to acquire the building.[1]

One of the principal considerations in Sparling's and Creanza's enthusiasm for the building was the Auditorium Theatre. Even at that time, over two decades before its ultimate restoration, these men envisaged the Theatre used by the College for its own students and for the public.

The Auditorium Building was purchased in 1946 and occupied by the College in 1947. The old hotel rooms were converted into faculty offices, classrooms, and laboratories. The hotel's dining room, from which banqueting patrons had overlooked Grant Park, soon held tables of scholars as a library reading room. The pantries became library stacks. The many bathrooms provided plumbing for the science laboratories and the fireplace flues were converted into laboratory exhaust vents. But with essentially no endowment the College had little money to spend on capital improvements and only essential remodeling could be done. The Theatre was too big, needed too much repair, and was too tangential to the ordinary operations of the College to undertake. It had been heavily abused during the War and, prior to that, had suffered the ravages of decades during which its owners invested minimally, or not at all, in its repair and maintenance. As a result, the Theatre acquired by Roosevelt College was all but unusable. It was used for the Spring Commencement in 1948 and for one or two other events. But the needed repairs were too great for the College to undertake and by 1949 the doors to the Theatre were closed and locked. The College confined its activities to the remaining 60 per cent of its building. When a large hall was needed for commencement or some other activity, space was rented elsewhere.

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[1] Minutes of the Board of Trustees, April 9, May 28, August 5, September 20, 1946.

But if the Theatre was dimmed, it was not forgotten. Many remembered the role it had played and envisioned a renaissance in which a restored Theatre would make Roosevelt University the cultural center of the Chicago community. Others, cognizant of the institution's pressing monetary needs and its lack of success in meeting these needs at anything above a minimum level, were quite apprehensive at the thought of the major fund-raising drive that would be necessary if restoration were to be undertaken by the University. They feared that such an effort would not only over-tax the energies of the institution's staff, but would appeal to the same sources which had been contributing to the University, and thereby diminish the already meager support for the academic programs.

In September, 1946, just after the purchase by the College of the Auditorium Building and a full year before it took occupancy, President Sparling appointed an Auditorium Committee, under the chairmanship of Joseph Creanza, to consider the ways in which the College might best utilize the Theatre. The committee became interested in the City Center of Music and Drama in New York, studied the financing and programming of that organization, and recommended it as a model for the College to follow in using the Theatre. So great was the optimism of this period that the committee was unconcerned about meeting the costs of restoration and focused its concern, rather, on such problems of programming as the need to provide opportunities for young artists to perform, and the need to provide low-cost tickets so that all types of people might benefit from the performances. The committee presented two alternatives for the use of the Theatre, but reported its unanimity in favoring the administration and operation of the Theatre by the College "as a cultural and artistic center for the City of Chicago" rather than renting it to a theatrical organization--even though such a solution, it was suggested, would "free the College of any responsibility and assure a rather handsome, fixed yearly income." The committee's written report was distributed by the president to the trustees at their meeting in October, 1946.[1]

In January, 1947, Sparling asked Creanza to discuss with the Executive Committee of the Board the possible arrangements for using the Auditorium Theatre. In his report Creanza outlined three alternatives: (1) the Theatre could be rented to a commercial organization; (2) the College could operate the Theatre itself; or (3) a separate but not independent organization could be established and given the responsibility of operating the Theatre with a "city-center" type of cultural programming.[2] It is interesting that these three alternatives were delineated for the Board at such an early date. Much of the later controversy regarding the restoration of the Theatre was largely concerned with which of these three alternatives to adopt.

In March, 1947, President Sparling reported to the Board that he foresaw the use of the Theatre as a center for forums and cultural events. It was clear that he envisaged the College sponsoring such events and making them available to its own students and to the community.[3] However, the problems of using the Theatre were secondary to the problem of finding funds to renovate or restore the Theatre. Many on the Board feared that an effort to restore the Theatre would drain the resources of the College and interfere with the maintenance and development of its academic programs. In June, 1949, the Board adopted a recommendation of its Executive Committee that the College not itself attempt to restore or operate the Theatre unless there were funds available for that specific purpose. The Board made it clear that the Theatre was to be in no way a hindrance to the academic development of the College.

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[1] Report of the Auditorium Committee appointed by President Sparling on September 10, 1946, Joseph Creanza, chairman, distributed to the Board of Trustees on October 26, 1946.

[2] Minutes of the Executive Committee of the Board of Trustees, January 9, 1947. The third alternative was not included in the earlier written report, but was presented by Creanza here for the first time.

[3] Minutes of the Board of Trustees, March 12 and May 7, 1947.

However, in deference to the vision of a restored theater held by Creanza and Sparling, the Board agreed to give Creanza the opportunity to form a committee to assume the responsibility for reconditioning and operating the Theatre. The Board specified that if the committee was "unable to assume this responsibility in three months, the Board authorize[d] the officers to negotiate a lease for commercial rental of the Theatre."[1] Creanza reported to the Board several times during this interval and informed the trustees that he had approached a number of influential people in the community with the idea that a non-profit organization, representative of both the College and the general community, be established to restore and operate the Theatre.

Creanza proposed that the Theatre be leased to such an organization for an extended period of years and that, once restored, it be used to conduct high quality cultural programs at moderate prices, that the College be able to use the Theatre at specified times without charge, and that any annual surplus above a specified amount be divided between the Theatre and the College. There were many advantages to this concept as to how the Theatre should be restored and operated. Not only would the College retain ownership and ultimate legal control but it would be represented on the Board of the new organization that would lease the Theatre. The College would earn a return from the lease as well as from the anticipated revenue surplus. The College would have the use of the Theatre to put on its own programs, and its students would be able to attend the low-cost performances of cultural events. Finally, he reasoned that the reputation and prestige of the College would be extended as the public was able to attend artistic performances housed in its Theatre. Creanza's time limit to form a restoration committee was extended to eight months,[2] but not enough community people were interested and this limit expired without success.

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[1] Minutes of the Board of Trustees, June 17, 1947, and "President's Newsletter," September 8, 1947.

[2] Minutes of the Board of Trustees, October 25, 1947.

Despite their suggestion that the Theatre be leased at a profit to a commercial organization if Creanza's attempt to restore it for strictly cultural and civic purposes failed, the trustees were most reluctant to follow-through on such an arrangement. Proposals from theater managers and entrepreneurs who wanted to lease and restore the Theatre were reported to the Board at various times.[1] These proposals were apparently bona fide and made in good faith. One offered an annual rental to the College of $50,000 and included a provision that the lessee would invest no less than $200,000, in what would remain the College's property, to restore the Theatre. Neither this nor any of the other offers were accepted.

The very existence of such offers seemed to reinforce the conviction of some that the Auditorium Theatre was an asset of great financial significance. If money could be made by operating the Theatre, should not the College earn it to use for academic purposes? President Sparling, in particular, held this point of view. As he saw it, the Theatre was the source of two potential benefits, making it a vital asset which should not be relinquished. He saw it as both a source of revenue[2] and as a cultural center that would enhance the academic program of the College. Renting the Theatre to a commercial organization might bring in an income, but would forfeit the Theatre's use as a cultural center. Sparling preferred to hold out until the Theatre could be restored in such a way that both benefits would be realized for the College.

But although Sparling was able to hold the Board back from renting the Theatre, he was not able to get it to contribute or raise the funds necessary for its restoration. At his urging the Board adopted a financial campaign for a million dollars in 1950 that included an amount of $500,000 to be used for the restoration of the Theatre, but that sum was never raised.[1]

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[1] Minutes of the Board of Trustees, April 28, 1948, January 24, 1949, and June 11, 1953. Minutes of the Executive Committee of the Board, September 22, 1952.

[2] Sparling told the faculty that the Theatre "would net us between $50,000 and $100,00 per year income-tax free. This would be equivalent to an endowment of anywhere from 1-1/2 to 3 millions of dollars. Put another way, I feel that every dollar

One of the problems about restoring the Auditorium Theatre so that it could again be used was that the cost estimates did not remain firm. In November, 1949, President Sparling told the faculty that the Theatre could be restored for $500,000.[2] Three months later the vice-president for development announced that "$800,000 to $900,000" was needed for the Theatre.[3] In 1955 an architectural firm estimated a cost of $750,000 for complete restoration of the Theatre.[4] By 1961 estimates ranged as high as $4,000,000.

Although many questions needed to be answered in order to get firm cost estimates, they went unanswered for a number of years. When the 1950 fund drive in which it was proposed to raise the funds to restore the Theatre was unsuccessful, the project entered a period of limbo for about six years.

During this period Sparling retained his dream of a Theatre restored. He spoke to the Board about the Theatre as "Chicago's greatest cultural asset" which was being held "in unfulfilled trust" by the College.[5] The institution's financial situation was then too precarious for any opportunity to restore the Theatre. But the hope of future restoration under joint University-community auspices was strong enough to enable Sparling to succeed in getting the Board to defer all offers from outside commercial organizations, of which several had expressed interest in restoring and operating the Theatre on a long-term lease.

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we invest in the Auditorium would be putting three to six additional dollars to work for us" (Minutes of the Senate Meeting, November 16, 1949).

[1] Minutes of the Senate Meeting, November 16, 1949, and Minutes of the Board of Trustees, January 18, 1950.

[2] Minutes of the Senate Meeting, November 16, 1949.

[3] Minutes of the Senate Meeting, February 15, 1950.

[4] Minutes of the Board of Trustees, June 21, 1955.

[5] Minutes of the Board of Trustees, October 25, 1952.

Proposals for the Theatre's restoration were submitted to several foundations, but they were unresponsive.[1]

The Developing Crisis

For many in the faculty and on the Board, if not for Sparling, the possibility of restoring the Theatre was a dormant issue by 1956. However, beginning in that year and during the next several years, a number of external events transpired to revive the Auditorium issue and make it the most important, controversial, time-consuming and troublesome issue to face the University community. These several events were:

A. The centennial of the birth of architect Louis Sullivan during which there was an intensifaction of interest in his buildings, of which the Auditorium was perhaps the best known.

B. The demolition of Sullivan's Garrick Theater in downtown Chicago. This angered many who were interested in Chicago's architectural history.

C. The consequent establishment by the Chicago City Council of a Commission on Architectural Landmarks. The Auditorium Building was among the first structures to be designated as a landmark by this commission.

D. The damage to Orchestra Hall, the home of the Chicago Symphony Orchestra, which was associated with the construction of an adjacent office building. The Chicago Orchestral Association feared, for a time, that it might have to find other facilities for the orchestra and they undertook an extensive study of the problems of renovating and restoring the Auditorium Theatre if it were to be used for that purpose.

E. The so-called "cultural crisis" which developed in Chicago in 1958 when the Opera House was leased as a movie theater and was not available for the staging of cultural performances.

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[1] For a report on one such proposal see the Minutes of the Board of Trustees, June 21, 1955.

These several events combined to give the issue of whether and how to restore the Theatre the status of an acute problem. The events were real enough, but some accused Sparling of using them to manipulate enthusiasm for restoring the Theatre. There is no question but that he saw in them evidence of a contempoary need for the Theatre.

In conjunction with the Louis Sullivan Centennial the Art Institute developed an exhibit reflecting his work. The Roosevelt University Board, under the chairmanship of Leo Lerner, determined to exploit this exhibit and this interest in Sullivan by holding a meeting at the Art Institute. Lerner and Sparling proposed that the Board should declare the Auditorium Building a national architectural monument to Louis Sullivan, and that if it did, there would be a sufficient outpouring of response to enable the institution to raise the funds needed to restore the Theatre and to rehabilitate certain other areas.

Some on the faculty were apprehensive that this renewed interest in the Theatre and in the building's architecture would lead to a distortion of emphasis away from the academic needs of the University. One of those most concerned about this matter was a faculty member of the Board. In a meeting of the Senate prior to the Board meeting, Professor Weisskopf alerted the faculty to this issue. The Senate adopted his resolution that "reactivation of the Auditorium should be undertaken only if there is a reasonable certainty that it will produce a substantial contribution to the educational activities of the University." The Senate requested that plans for the restoration of the Theatre be discussed by the Senate "and its recommendations considered by the Board before any action is taken." A faculty committee was appointed to investigate any proposed plans and report back to the Senate.[1] At least two of the five (later six) members of this committee (including a member of the administration and a faculty member of the Board) were known to oppose the Theatre restoration as being too risky to the financial status of the institution and of secondary importance to its academic program.

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[1] Minutes of the Senate Meeting, November 21, 1956.

The Board meeting was held in the Art Institute as scheduled. It was attended by a number of special guests who were proponents of the restoration including Creanza and Crombie Taylor (the University's architect who had a particular interest and specialty in the architecture of Louis Sullivan). A lengthy resolution was introduced by Sparling regarding the restoration of the Theatre. Although the Board balked at declaring that it had an "obligation" to preserve and restore the building, it did express its "desire to perpetuate the Auditorium Building as one of the finest examples of nineteenth century American architecture." This "desire" was specified as the Board's wanting to "restore" and "maintain" the building "as a monument to the artistic genius of Sullivan and Adler." The Board agreed to establish a national committee of distinguished architects who were to be consulted about the restoration and who would help "the country at large become aware of the significance" of the building. "All possible avenues--which would not interfere with the successful conduct of the academic program of the University" were to be explored to secure financial aid for the preservation and restoration of the building. Despite the hope for unanimity on this matter, two of the trustees voted against the resolution.[1]

In some respects this resolution was little more than a public relations effort. The Board expressed its "desire" that the building be restored, it decided to appoint a group of distinguished architects who might help educate the public about the significance of the building, it agreed to "explore all possible avenues," but the Board did not actually commit itself to anything. Moreover, it specified that "it was not the intention of the Board to use the resolution as a means of launching another financial campaign which might interfere with the planned stabilization campaign."[2]

The "stabilization campaign," its very name suggesting the somewhat precarious state of the institution's finances, was an attempt to raise $1.82 million. This campaign, of much more immediate consequence to the stability of the institution and to the success of its academic programs, was launched at the same time that the Board expressed its "desire" to restore the Theatre.[1]

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[1] Minutes of the Board of Trustees, November 29, 1956.

[2] Ibid.

Although the Board had already adopted the president's proposal expressing its desire to restore the building including (particularly) the Auditorium Theatre, Professor Weisskopf, at the next meeting of the faculty Senate, again challenged the concept and pointed out how much of the University's space would be "sacrificed" to the Theatre if it were restored rather than converted into more traditional academic facilities. Thus the pattern for the evolution of this controversy was set. It was an issue recognized as involving a Board decision and responsibility. The trustees were themselves divided on the issue, but not as between faculty and lay. The president was an ardent proponent. Some members of the administration and some faculty members of the Board were determinedly opposed. The issue was brought to the faculty by faculty trustees who held positions in the Senate. The Senate felt that the academic implications of a decision to restore the Theatre were sufficiently great to warrant their attention.

Before it was resolved the issue became more complex: several schemes were proposed for the restoration of the Theatre. These could all be classified into one or another of the three categories outlined by Creanza in 1947 (i.e., rental to an outside commercial organization, restoration and operation by the University itself, establishment of a "separate but not independent organization" to restore and operate the Theatre). Some of the trustees who were eager to see the Theatre restored became deeply committed to restoration in one or another of these ways and opposed restoration in any other way.

The issue came to generate strong feelings because the stakes seemed so high. Approximately 40 per cent of the University's real property was involved. That much could be measured. Other claims were asserted but not easily proven: that the restored Theatre would "net" $50 or $100 thousand annually, that it would require several millions of dollars to restore, that such monies were (or were not) likely to be available, that to attempt to raise such sums would make new friends for the institution(i.e., appeal to persons not then contributing and not likely to contribute to the University), or that by appealing to the same contributors it would drain funds otherwise available for the improvement of the academic program (including faculty salaries). Some claimed it would "make" the University by enabling it to become a cultural center for the entire metropolitan area. They predicted both fame and fortune arising from a restored Theatre. Others were equally sure it would "break" the University by diverting all too scarce resources and administrative energies. They saw the Theatre as a non-viable cross between an albatross and a white elephant which could be redeemed only by leasing it out on a commercially profitable basis or by converting it into academic space.

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[1] See the President's Report in the Minutes of the Senate Meeting of December 5, 1956.

Because all of the leadership figures in the institution had taken sides, compromise was exceedingly difficult. The issue aroused the loyalties and antipathies of those who felt close to or alienated from the president, the board chairman, the dean of faculties, or the vice-president for development, all of whom took strong positions on the matter. There was scarcely anyone of stature within the institution who did not come to be aligned with one or another of these positions or identified with one or another leadership figure. Consequently, there were no neutral or uncommitted individuals who, with untarnished prestige, could work out a compromise acceptable to all.

The one ingredient which might have reduced the developing friction was not adequately available. Even the "stabilization campaign" that was approved by the Board in the Fall of 1956 and that was supposed to raise $1.8 million for academic purposes limped along with only meager success.

On several occasions the Board issued statements soliciting ideas, calling attention to the Theatre's history and potential, and professing readiness to work with any group which might be interested in restoring the Theatre. One such statement was issued in March, 1958, and concluded: "The Board of Trustees of Roosevelt University will gladly cooperate with any group or individual having a plan to restore the Auditorium Theatre."[1] A similar invitation had been made as far back as January, 1948,[2] and again in November, 1956. Another was made yet again in April, 1958.[3] Fundamentally, however, all of these invitations which seemed designed to allure those who might be interested in restoring the Theatre, were deceptive and misleading. When proposals were put forth in response to these appeals the Board found them unacceptable. In large part these conflicting positions reflected the different viewpoints held by members of the Board, but it was as if the Board said: "We cannot restore the Theatre ourself and need outside help and suggestions;" then when help was offered it turned around and said: "Thank you very much, but we really would like to do it ourselves, after all."

Loggerheads

The publicity generated by the Sullivan Centennial and by the University's embrace of it began to have an effect. Sparling reported that he was receiving many letters urging restoration of the Theatre and that there were numerous articles and editorials in both the local and national press expressing interest in the project. Also, about 1,000 people toured the building, particularly the Theatre, as part of the Sullivan Centennial.[4] In these ways Sparling began to feel under increased pressure to restore the Auditorium Theatre. He exhorted the Senate that although "we must not lose sight of the fact that our primary mission is educational . . . we must [also] be aware of other possibilities open to us for greater service to the community because of our . . . possession of the historic Auditorium. . . ."[1]

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[1] Minutes of the Board of Trustees, March 19, 1958.

[2] Minutes of the Board of Trustees, January 21, 1948.

[3] Minutes of the Board of Trustees, November 29, 1956, and April 10, 1958; Report of the President in the Minutes of the Senate Meeting, April 16, 1958.

[4] Minutes of the Senate Meeting, January 16, 1957.

Chicago's cultural crisis

Added to the interest in restoring the Theatre which was generated by the Sullivan Centennial was that which developed out of what was called "Chicago's cultural crisis." This "crisis" was precipitated by the rental of the Civic Opera House, for years the principal auditorium for opera and ballet in Chicago, to the Cinemiracle Midwest Corporation for use ten months a year as a wide-screen movie theater. That left Chicago without an auditorium with a professional theater stage. There was considerable discussion of this "crisis" in the press and sentiment was expressed to the effect that Chicago had been left in a "cultural void." Mayor Richard J. Daley appointed a Cultural Facilities Survey Committee to submit recommendations on the matter. This "crisis" was the subject of a feature article in the Sunday edition of the Chicago Sun-Times for April 20, 1958.[2] In the same issue of the paper there was a full-page interview with a former member of the Roosevelt University Board of Trustees, Arnold Maremont,[3] who had a proposal to resolve the Chicago cultural crisis.[4]

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[1] Ibid.

[2] Herman Kogan, "The Future of Chicago--A Cultural Wasteland?" Chicago Sun-Times, April 20, 1958, pp. 1 and 4.

[3] Maremont had been a member of the Board from June, 1945, to his resignation in 1950; he was re-elected in November, 1951, and served until October, 1954. Maremont was then currently "news-worthy" as the chairman of the Festival of the Americas which was held in Chicago in August, 1959. He wanted the Theatre to be restored to be ready in time for that event.

[4] Sparling discussed all of these matters with his faculty at some length. See the Minutes of the Senate Meetings of March 19, May 21 and October 15, 1958.

Maremont proposal

The idea discussed by Arnold Maremont in the newspaper interview was one which he had proposed first to Board Chairman Leo Lerner, and to another trustee of the University, Robert Pollak. In essence, Maremont's proposal was that he offered to form a group that would try to convince the Metropolitan Fair and Exposition Authority to restore the Auditorium Theatre in return for a long term lease--he proposed forty years at $50,000 per year with re-appraisals every four years so that adjustments could be made to keep pace with inflationary trends. At that time it seemed that there was some chance that the Metropolitan Fair and Exposition Authority might be interested in leasing the Auditorium because their plans to build an exhibition hall and theater on Chicago Park District land at 23rd Street and Lake Michigan (later known as McCormick Place) had been held up (although only temporarily as it turned out) by a taxpayer's suit. Furthermore, there was good reason to believe that the Auditorium Theatre could be restored and refurbished in less time and at less cost than the construction of a new theater. Since the city was presumably in the midst of a "cultural crisis" the time factor was thought to be particularly appealing.

Lerner took this proposal to the Executive Committee of the Board on March 27, 1958. It was discussed by the Board at its regular April meeting and again at a special meeting, called for that purpose, at the end of April.[1] Both Lerner and Pollak had been convinced by Maremont of the value of the proposal. If successful it would restore the Theatre; it would guarantee the institution a sizeable amount of much needed income which could be applied to the academic program; it would relieve the University of further responsibility in the Theatre; and it would assure the University of a specified number (nine was suggested) of rent-free uses during the year for commencements, concert recitals and other purposes. In all that followed,

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[1] Minutes of the Board of Trustees, April 10 and April 29, 1958, and Minutes of the Senate Meeting, May 21, 1958.

Lerner and Pollak remained strongly enthusiastic for the Maremont proposal and rejected other proposals.

A Board committee was appointed to meet with Maremont and study his proposal, and a special meeting of the full Board was held to consider it. Maremont had made his suggestion only after the Board had publicly declared that the "University will gladly cooperate with any group or individual having a plan to restore the Auditorium Theatre."[1] However, as a result of the Board meeting on April 29, Maremont was sent a polite letter, in effect amounting to a rebuff, asking him for more details in writing and again stating that the Board would "give serious consideration to any proposal in writing from a responsible group or individual for the restoration of the Auditorium Theatre."[2] The letter was a gracious, but none-the-less conclusive, rejection of his proposal.

The principal opposition to the Maremont proposal, which would have turned the Theatre over to an outside agency, came from President Sparling. He very much wanted the University to control the Theatre and to use it not only to derive income but to enhance and extend its cultural offerings and its public image. A University cultural center in the Theatre, he believed, would not only attract additional students but would attract additional contributions to support the University. In order to forestall acceptance of the Maremont proposal and to convince the trustees of the value of the Theatre with the idea of making them less willing to consign it to an outside group, Sparling proposed that a survey be conducted among Chicago civic leaders and those knowledgeable in the restoration and operation of theaters. The survey, as proposed by Sparling, was to "study the implications of the architectural restoration of the Auditorium Theatre within the framework of the total restoration of the building as an architectural and acoustical masterpiece." The survey should also study "possible costs, incomes and potential external and internal use of the Auditorium."[1]

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[1] Minutes of the Board of Trustees, March 13, 1958.

[2] Minutes of the Board of Trustees, April 29, 1958.

The John Price Jones Company's survey

The proposal to have a survey conducted was endorsed by the Development and Executive Committees and adopted by the Board on June 3, 1958. Because the New York firm of John Price Jones Company, Inc. had done some development consulting for the University and had conducted a survey with regard to the University's public relations, it was agreed that it should conduct the Auditorium Theatre survey.

Since the idea for the survey had been suggested partly as a means of forestalling the Maremont proposal, it was not surprising that Robert Pollak, as an advocate of that proposal, expressed strong opposition to having the survey conducted. A survey would be expensive, he believed, unnecessary, and would further beguile the Board when what it should do was accept Arnold Maremont's offer and get on with it.[2] He wrote a long memorandum to the Board opposing the survey. However, his rhetorical style and his vague allusions with regard to sources of funds suggested to some that he was concealing something from the Board. Despite his opposition, the Board determined to have a survey conducted.[3]

The survey by the John Price Jones Company concerning the restoration of the Auditorium Theatre was conducted during the summer of 1958. Sparling, who had initially proposed the survey in hopes that it would serve his goal of establishing a

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[1] Minutes of the Board of Trustees, April 29, 1958, and Minutes of the Senate Meeting, May 21, 1958.

[2] It was later revealed that Maremont had encountered opposition to the use of Metropolitan Fair and Exposition Authority funds for restoring the Auditorium Theatre (John Price Jones Company, Inc., Report on a Development Survey for the Restoration of the Auditorium Theatre, August, 1958, p. 7 [Mimeographed.]).

[3] Minutes of the Board of Trustees, June 3, 1958.

University controlled and operated cultural center in the restored Auditorium, was not able to remain as close as he would have liked to the development of the survey, the questions asked and the conclusions reached, because he was out of the country that summer. As a result, the survey report presented to the Board in the fall was a somewhat different document than what he had hoped.

The John Price Jones Report was a comprehensive document which considered whether or not it was desirable or feasible to restore the Theatre, under whose auspices restoration should be undertaken (if at all), the probable costs of restoration, the uses of a restored Auditorium for the University and for the community, and a variety of related questions. The report was based on a survey of the opinions of presumably knowledgeable and influential people and so was limited by the validity of those opinions. Nonetheless, it was an authoritative presentation, the more so because it was prepared by an independent consulting firm, based outside of Chicago, which could not itself benefit directly from the adoption of one or another alternative.

The report favored the restoration of the Theatre, although with some qualifications. It pointed out that it was likely that the Civic Opera House would soon again be available for live stage performances (which it was), that the Metropolitan Fair and Exposition Authority would go ahead with the construction of a 5,000 seat theater as part of the lakefront exposition hall (which it did), and that the existence of these halls plus a refurbished Orchestra Hall would diminish the need for the Auditorium. Nonetheless, the report suggested that there was sufficient cultural need for the Auditorium and sufficient interest in its preservation to make restoration both desirable and feasible.

However, on the crucial question of under whose auspices this renovation should take place, the report was unequivocal. It recommended against Roosevelt University undertaking this venture itself and advised that only a separate, independent agency would be able to raise the necessary funds for Theatre restoration and that only such an agency would be able to utilize it fully once restored. "The independent agency form of operation was not only considered preferable by the majority opinion in the survey, but many went further to state that they believed this to be an essential condition for the restoration of the Auditorium."[1]

The report recognized that this recommendation was contrary to the position taken by Sparling, that the University itself restore and operate the Theatre. Sparling later challenged the objectivity of the report and charged that the survey's questions on this matter were so phrased as to make the choice of an undefined "separate, non-profit cultural commission, committee or foundation . . . with the University retaining certain agreed-upon rights and privileges"[2] appear to be the better alternative.[3]

Although President Sparling welcomed the John Price Jones recommendation that the Theatre be restored, he was distressed by their recommendation of a separate agency. He was further distressed when a follow-up presentation was submitted by the John Price Jones Company emphasizing that it was desirable for any agency to which Roosevelt University would turn over the Theatre to be both autonomous and independent. Sparling urged that a decision by the Board on the John Price Jones recommendations be postponed to give him sufficient time to formulate his own plan.[4] In order to convince the Board not to go ahead with the John Price Jones recommendations he made a special point that "the faculty of the University had not had an opportunity to consider fully all of the factors involved in the action" which was being proposed.

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[1] John Price Jones Report, p. 31. [2] Ibid., p. 28.

[3] Interview with E. J. Sparling, December 14, 1970.

[4] Minutes of the Board of Trustees, September 25, 1958. Subsequently, Sparling had a second study conducted by another development consulting firm, P. J. McCarthy and Associates. That firm started from the assumption that it would be desirable for Roosevelt University to restore and operate the Theatre and concluded that it would be feasible for them to do so (Minutes of the Senate Meeting, February 18, 1959).

Sparling had copies of the John Price Jones Report distributed to the entire faculty. He appealed for the faculty's support by telling them that he thought that restoration of the Theatre would "mean the tapping of new and powerful support for the total University" and that it would offer "the opportunity to reach a new high in both our educational and cultural offerings." He also told the faculty that he was "deeply concerned about giving away our policy control of what amounts to approximately 40 per cent of our building."[1]

This was not the first time that Sparling appealed to the faculty to support him on an issue with the Board. An appeal made on his behalf to the faculty of the YMCA had brought about the large-scale resignations from that institution which in turn had strengthened the resolve of Marshall Field III and Edwin R. Embree to make their initial contributions to the new college. Appeals to the faculty were helpful in convincing the Board to purchase the Auditorium Building. Such appeals had been made prior to the purchase of each of the two parcels[2] when certain of the trustees were expressing hesitation because of the costs. Furthermore, an appeal to the faculty had been made at the start of the "Stabilization Campaign," requesting their contributions and expressing the importance of such contributions in motivating the trustees to do their share. Each of these appeals had been made to the entire faculty, as was this one, rather than merely to the faculty members of the Board.

The Faculty Senate held a special meeting to discuss "what policy should be adopted in regard to the renovating, management, control, and use of the Auditorium Theatre."[1] This was scheduled to precede the special meeting of the Board called for the same purpose. The faculty spent nearly two hours arguing inconclusively. It became evident that the faculty was deeply divided on the issue. No resolution could gain clear support, and no "sense of the meeting" could be agreed upon.

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[1] Minutes of the Senate Meeting, October 15, 1958.

[2] The Auditorium Building property had been acquired in two separate real estate parcels. This first, amounting to approximately 85 per cent of the building was acquired in August, 1946. The second parcel (known as "the Teitelbaum property" after its owner who was reluctant to sell) included the boilers for the building; it was not acquired until April, 1947, at a cost approximating that of the first parcel.

The debate was resumed at the next regular meeting of the Senate, and an ambiguous and self-contradictory motion was ultimately adopted by a majority of the senators.[2] In its resolution the Senate appeared to be saying to the Board: "Don't give the Theatre away; don't raise money to restore it; don't stir up the public; but somehow get somebody to restore it for us." This was an unrealistic approach to the problem. But only by including these contradictory elements was the support of a majority of the Senate obtained. Those who opposed the restoration of the Theatre and favored its conversion into conventional academic facilities were opposed to the resolution as were those who favored its lease as a commercial income-producing property.

It did not seem to the faculty at all unusual that they had been asked by the president to participate in what was, in effect, an administrative and policy decision about the use of a portion of the University's real estate. Some sense of their involvement in the direction and growth of the institution is evidenced by the fact that at the Senate meeting in which this resolution was considered, the faculty were strongly urged for their contributions to help make up the $40,000 that, at the urging of the president, had been pledged in the name of the faculty to the (still struggling) "Stabilization Campaign."[1] Since they were being asked to contribute a portion of their salaries to help "stabilize" the institution, it is no wonder they felt a sense of responsibility for and an involvement in a major policy decision which, at another institution, might have been made entirely at the Board level.

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[1] Minutes of the Special Senate Meeting, November 12, 1958.

[2] The text of this resolution was "Be it resolved that the Senate recommend to the Board of Trustees that
(1) no offer be made by the University to the city or to any other group or person to restore and/or operate the Auditorium, that
(2) in view of its present drive for funds, which must take precedence over any other drive for funds, the University not itself try to launch a campaign to restore the Theatre at this time, but that
(3) the Board explore every other avenue for restoring the Theatre that does not stir up public interest or interfere with the present fund raising campaign and seriously consider the offer of any sympathetic group to do so" (Minutes of the Senate Meeting, November 19, 1958).

If the Senate was divided on the question of what to do on the matter of restoring the Theatre, the Board was almost at a stalemate. At its special meeting on December 4, 1958, which had been called to consider the Auditorium issue, the Board was split almost in half. The one resolution which passed, that there be no fund-raising not connected with the current ("Stabilization") campaign, carried by the slim margin of 13-11. At that meeting, for the first time, the Board was presented with a "plan for the restoration of the Auditorium Theatre and its operation under the auspices of Roosevelt University" which had been drafted by Mrs. John V. Spachner, a trustee of the University.[2]

Mrs. Spachner's proposal

Beatrice (Mrs. John V.) Spachner had joined the Roosevelt University Board of Trustees in October, 1957. Prior to that time, she had demonstrated her interest in architectural restoration, her concern for musical facilities, her ability as a fund raiser and her commitment to Roosevelt University by raising the money to restore what had formerly been a private banquet-room on the seventh floor of the Auditorium Hotel. The room was remodeled into a recital hall for use by the University's Chicago Musical

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[1] Minutes of the Senate Meeting, November 19, 1958.

[2] Minutes of the Board of Trustees, December 4, 1958.

College and was named in honor of Rudolph Ganz, the president-emeritus of that institution which in 1954 had merged with Roosevelt. This endeavor had just been completed when President Sparling asked her to join the Board. Prior to that time, Mrs. Spachner, who had been a professional violinist, had raised funds for the Aspen Foundation.

At the time Beatrice Spachner joined the Board, it was embroiled in the Auditorium issue. Having had the experience of successfully restoring Ganz Hall, it was natural that she might be interested in the possibility of restoring the Theatre. After listening to considerable debate on the matter, after reading the John Price Jones Report, and after consulting with a number of people she formulated a plan for the restoration and operation of the Theatre. Mindful that the John Price Jones Report recommended that the Auditorium be restored by an agency other than Roosevelt University, and also mindful that President Sparling felt strongly about retaining control for the University, she proposed that the Board authorize restoration by a new organization whose members would include trustees, faculty, and interested members of the general community. Mrs. Spachner's plan outlined a series of uses for the Theatre as a community cultural and civic center, as well as educational uses by the University itself. Her proposal was referred by the Board to a mixed committee for evaluation.

At that time the Board (and the Faculty Senate) was divided into at least three groups with regard to what should be done with the Theatre. One group, led by President Sparling, wanted the Theatre restored as an Auditorium to be used as a cultural center under University auspices. A second group, led by Chairman of the Board Leo Lerner, and by trustee Robert Pollak wanted the Auditorium restored by an outside agency essentially as had been recommended by the John Price Jones Report. The outside agency might be the Metropolitan Fair and Exposition Authority as proposed by Arnold Maremont, or it might be some other agency, either municipal or private. A third group, consisting largely of members of the faculty and administration--

led by such individuals as Dean of Faculties John Golay; Wayne Leys, Golay's predecessor and then dean of the Graduate Division; Vice-President for Development Wells Burnett; and faculty trustee Walter Weisskopf--was opposed to restoration. Their position was that the University did not need a 4,000 seat theater, that it should not compete with itself by launching another fund-raising campaign while the "Stabilization Campaign" was not yet successfully terminated, that it did need classrooms and laboratories, and that it did need more money for faculty salaries and other operating expenses. They argued that the whole matter really should not have been stirred up by Sparling in the first place because there were many more pressing academic needs, that the space should be kept for conversion into the kinds of facilities the University did need, and that if such remodeling were too expensive to undertake at the present, the facility should be leased (or possibly sold) to provide the University with much needed income. They suggested that it was contradictory to view the Theatre, as Sparling did, as a source of revenue and as a cultural center. A cultural center would require large scale subsidization if there were to be resident opera, ballet or drama companies, as was being discussed, and if free or low-cost tickets were to be provided to students, as also had been suggested.

The Board committee which first considered Mrs. Spachner's proposal was not able to agree on a recommendation and so two separate reports were submitted. The report submitted by trustees Harland Allen and Eric Kohler supported her proposal; the one by trustees Lowell Huelster[1] and Robert Pollak opposed the Spachner proposal. One of the many arguments used by Huelster and Pollak in their report to the Board was that the faculty and many members of the administration were opposed to the inauguration of a new fund-raising campaign for the Theatre prior to the completion of the on-going campaign for academic support.[1] Faculty opinion was regarded as an important and weighty consideration.

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[1] Huelster was the controller of the University. In 1955 he had been elected by the faculty to the Board, class of 1955-58; following that term he remained on the Board as a member ex officio without vote. It was in this latter capacity that he was asked to chair this committee which was appointed in December, 1958 (i.e., after the expiration of his elected term).

There were a number of elements in Mrs. Spachner's plan which were designed to make it a compromise proposal. She envisaged an Auditorium Restoration and Development Committee including trustees and faculty of the University as well as community leaders. The University's control would be protected by these faculty and Board members. On the other hand, she would not include "Roosevelt University" in the name of the Committee, she would involve none of the University's officers as members of the committee and would not use the University's list of contributors. Omitting "Roosevelt University" from its name, and not involving the president or the director of development in the fund-raising efforts, would reduce the committee's public affiliation with the University and thereby meet the objections of those who were worried about a competing campaign which would reach the same donors. The committee was to be a self-sustaining operation but the rules under which it would operate and under which the Theatre would be operated would be approved by the Board. Once the Theatre was restored, the committee would not pay rent to the University, since it was really a part of the University already, but would transfer to the University any excess income generated by the Theatre over an amount needed for a working reserve and for continued repair and maintenance.

It was, in fact, an ingenious proposal designed to meet the objections of all but those who were completely opposed to the restoration. The tenor of the Board at that time was such, however, that it was not seen as a compromise. In fact, Mrs. Spachner's proposal polarized the Board so that instead of three

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[1] Minutes of the Special Meeting of the Board of Trustees, February 17, 1959.

(or more) positions there came to be only two: those who favored restoration of the Theatre under the Spachner plan and those who opposed it.

So complete was this polarization that when the Allen-Kohler report was submitted, calling for an implementation of the Spachner plan and the establishment of an Auditorium Restoration and Development Committee empowered to raise funds, formulate architectural plans and otherwise begin the work of restoring the Theatre, the Board (including Chairman Leo Lerner) voted twelve for and twelve against its adoption.[1] This tie was repeated as a number of the committee's recommendations were voted on, and the Board appeared to be at a complete impasse.

The impasse was broken towards the end of the meeting by a new trustee, Philip Klutznick, a highly articulate and persuasive individual who had just been elected to the Board and who was attending his first meeting. Because of his reputation and prestige in the business community, because he had not previously been affiliated with one side or another of the controversy, and because of his rhetorical skills, Klutznick was able to formulate a resolution acceptable to twenty of the twenty-four trustees attending the meeting. The Klutznick resolution established the Auditorium Restoration and Development Committee but empowered it merely to designate officers and to "examine into the entire proposal." It specifically enjoined the committee from committing the University in any way.[2]

The Klutznick resolution mentioned by name, as had the Allen-Kohler resolution, the individuals who were to be the "nuclear members" of the committee. Obviously only individuals who were in support of the restoration were included. The list contained the names of ten Roosevelt University trustees including one faculty trustee (Otto Wirth) and seven non-trustees of whom two (Robert Ahrens and Joseph Creanza) were members of the

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[1] Minutes of the Board of Trustees, February 17, 1959, and Minutes of the Senate Meeting, February 18, 1959.

[2] Ibid.

Roosevelt University faculty; the five remaining committee members were from outside the University.

The Auditorium Restoration and Development Committee was established in February, 1959. For the balance of that academic year, the committee, under the chairmanship of Mrs. Spachner, contacted potential donors, queried architects, and otherwise began the work of finding out in detail if it could raise the funds (now projected at $2.75 million) necessary to restore the Theatre. The Committee felt itself handicapped in a number of ways. It had no authority to accept funds, hire architects, or in any way commit the University. Further, it found that the division of opinion within the Board and the faculty made others outside the institution uncertain whether they wanted to pledge funds to so perilous an undertaking and one whose worth was questioned by people presumably close to it.[1]

During the year (1959) the matter continued to be debated by the faculty. A precarious administrative position had developed for President Sparling. On the one hand he found himself in opposition to Board Chairman Leo Lerner, with regard to the wisdom of Mrs. Spachner's plan to restore the Theatre, and on the other hand he was at odds with certain members of his administrative staff on the same issue. The dean of faculties, the vice-president for development, the vice-president for business, and the dean of the Graduate Division were all openly opposed, as was at least one of the faculty trustees. An attempt was made by some of the administrative officers and by some of the trustees who opposed the restoration plan to join forces against the president and there was communication between these allied groups. There developed what amounted to a struggle for control of the University.

A number of events occurred to enable President Sparling to win that struggle. The Nominating Committee of the Board, under the chairmanship of Eric Kohler (an Auditorium proponent), in response to a suggestion proffered by Sparling, voted to recommend Harland Allen (also a proponent) as a candidate for board chairman as against the incumbent Leo Lerner who opposed the Theatre. Because Lerner had been in poor health, he relinquished the chairmanship and the Board elected Allen chairman.[1] Lerner continued to fight against the Auditorium Restoration and Development Committee proposal as vigorously and determinedly as before, but perhaps not from as strategic or influential a position.

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[1] Interview with Mrs. John V. Spachner.

Although the faculty (in May, 1959) elected the dean of faculties as a voting member of the Board, in part on the basis of his opposition to the Auditorium, when the question came down to a matter of loyalty and confidence, most of the faculty (and the faculty trustees) were willing to stand behind the president rather than the dean even though some of them had reservations about the Theatre proposal.

After spending eight months (from February to October, 1959) exploring the possibilities of securing adequate support to restore the Theatre, Mrs. Spachner presented a report of the Auditorium Restoration and Development Committee at a special meeting of the Board on October 29, 1959. She concluded that "the Auditorium Theatre can be restored without in any way impairing the present and potential financial resources of the University." She recommended that the Board authorize a fund-drive for the restoration of the Theatre.[2]

At that point a majority of the Board favored restoration of the Theatre, but there was still serious disagreement as to the legal entity which should be responsible for the restoration. The conundrum Mrs. Spachner had been given to solve was to conceive of an agency that would, on the one hand, preserve the University's ownership and control and insure it an income, and, on the other hand, protect it from any financial or legal responsibilities or obligations in connection with the fund raising, the restoration or the operation of the Theatre. To devise an entity that would meet all these constraints was, in many ways, like trying to open an egg without cracking the shell.

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[1] Minutes of the Board of Trustees, November 18, 1959.

[2] _Ibid_.

The Auditorium Theatre Council

Not all of the trustees were satisfied with the solution proposed by Mrs. Spachner. She suggested the creation by the Board of an Auditorium Theatre Administrative Council which would be formed out of the existing Auditorium Restoration and Development Committee. Although her proposal was carefully worded so as to safeguard the University from commitments made by this council, many were dissatisfied over what they regarded as ambiguities and vagaries in the proposal. Some felt that the proposed agency was too autonomous and that the University would jeopardize its ownership and control by turning the Theatre over to the proposed council. Others were concerned that the council was too integral a part of the University structure and should really be established and chartered as a legally separate corporation.

The Board would not accept Mrs. Spachner's new proposal in its entirety when it was presented in October, 1959. Again, it was Philip Klutznick who formulated an acceptable compromise resolution which conceded enough to obtain the votes necessary for adoption. Klutznick's resolution adopted the first part of Mrs. Spachner's proposal, approving a fund-drive for the restoration of the Theatre. It postponed a decision on the matter of the legal structure of the agency that would restore and operate the Theatre. The resolution stated that

> the legal counsel of the University [shall] determine the legal entity and manner of contract that will enable the University to attain the objectives heretofore set forth and report back to the Board his recommendation for approval. . . .[1]

The resolution also specifically reaffirmed the University's intent to retain its ownership of the Theatre. With these compromises and safeguards, Klutznick's resolution passed by a margin of fifteen to eight[1] and a fund-drive began.

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[1] *Ibid*. Subsequently, there was disagreement over whose legal advice should be followed, with each side bringing in opinions from attorneys who supported their position.

Yet some like John Golay, the dean of faculties and a faculty trustee, were intractably opposed to the restoration. At the next meeting of the Faculty Senate, Golay read a long, prepared statement essentially explaining the reasons for his opposition. His principal concern was that by restoring the Theatre the University would foreclose its options on the best future use of its building for academic purposes. It would no longer be able to sell, remodel, reconstruct, or otherwise dispose of its property as it saw fit. He predicted that "once the Auditorium has been restored by public funds, the use of the building and the site will necessarily be committed to preservation of the Auditorium."[2]

In stating his opposition to a position which had been approved by a majority of the Board, Golay questioned whether he should continue to remain on the Board:

> I have asked myself whether in a matter as crucial as this for the future of the University and taking the position on it that I have taken, I ought, either from my own point of view or that of the faculty, to continue to exercise the responsibility of trusteeship. At this moment, I have come to no answer to this question. It may be that developments at a later meeting of the Board of Trustees will help toward a decision.[3]

This was the first open mention that positions had so hardened and that personal commitments to these positions were so strong as to make those on the "losing" side feel they must resign. Golay's faculty colleagues urged him not to take this course.

It was not surprising that with disagreement so intense within the Board and the faculty that some of this would be reflected in the student body. This difference of opinion came to the surface in the form of an argument between the president of the Student Senate and the editor of the student newspaper, the Torch. The president of the Student Senate, and most of the senators, took a position favoring the restoration of the Auditorium; in other words, they supported President Sparling. The editor of the Torch was opposed to restoration; that is, she supported the position taken by Dean Golay. Since members of the Student Senate sat on the Student Activities Board which had the responsibility for selecting the editor of the student paper, they used that vehicle to attempt to have her replaced.

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[1] The affirmative vote would have been larger if the votes of two (including Klutznick himself) who had to leave the meeting early were counted.

[2] Minutes of the Senate Meeting, November 18, 1959.

[3] Ibid.

The issue of restoring the Theatre was debated throughout the University by students and faculty, as well as by the administration and the Board. There were articulate advocates on both sides in each group. The debate raged on during the remainder of the fall and into the winter. The Board had backed into a decision to restore the Theatre, leaving many uncomfortable. The issue now was ostensibly one of determining what legal form should be given to Mrs. Spachner's Council. Some, like Golay, were still opposed and tried to stop the restoration altogether. The principal opposition at that point, however, was from Leo Lerner who had strong reservations about the proposed Auditorium Council.

The recommendations of the Auditorium Restoration and Development Committee which had been presented to the Board by Mrs. Spachner on October 29, 1959 were rewritten and revised a number of times. Trustee Eric Kohler, a member of that committee, played a significant role in these rewritings. One version of the resolution was presented to the Board in December, another in January, and a third in February (1960). Kohler was an accountant by profession, not an attorney, and while the wording of his resolutions was quite clear, they did not have the legal precision and safeguards which Lerner, for one, thought essential.

A vote on the Kohler resolution was postponed from one meeting to the next as wording was revised and additional legal opinions were sought. The vote was finally scheduled for February 18, 1960. On February 17 Lerner circulated to the

Board a four-page single-space statement of his "objections to the proposed resolution of the Auditorium Restoration and Development Committee." He enumerated eight separate objections to the proposal to establish an Auditorium Theatre Council. These objections centered around the contention that this was not an "arm's length" business transaction but an uncompensated disposition (of questionable legality) of University property to an ambiguous entity, not really under the control of the Board, depriving the University of the right to use or to receive benefits therefrom without protecting it against claims which might be made by donors, contractors, or employees of the Council.[1]

Also on February 17 there was a meeting of the Senate where the matter was debated for the penultimate time. Despite the objections of some of the advocates of the Auditorium proposal, Professor Weisskopf distributed to the senators copies of the revised Kohler resolution which had been presented to the Board on February 11, as well as copies of Lerner's statement of objections to it; moreover, he expressed his own reservations to the Auditorium proposal. Weisskopf then moved that the Senate "request the faculty members of the Board to interpret to the Board the Senate's desire to see the legal and financial rights of the University fully protected and to have the Board retain full ultimate control of the fund raising campaign, the restoration, and the operation of the Auditorium Theatre." One senator objected to any vote which would instruct the faculty trustees who were bona fide members of the Board, not delegates. Another senator pointed out the apparent inconsistency of such a resolution with the faculty's previous concern that restoration and operation of the Theatre not interfere with University's fund raising. A third senator, also a faculty trustee, indicated that in the Board meeting he had been assured that the various objections to the Kohler resolution would be covered (presumably by revision or amendment). With such demurrers and assurances the Senate defeated Weisskopf's resolution by a vote of twenty-eight to twelve,[1] and the faculty trustees went to the next Board meeting without specific instructions.

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[1] Leo A. Lerner, "Objections to the Proposed Resolution of the Auditorium Restoration and Development Committee, Presented at the Board of Trustees Meeting of Roosevelt University, February 11, 1960," February 17, 1960. (Mimeographed.)

The final (secret) vote on establishing the Auditorium Theatre Council as the agency to restore and operate the Auditorium Theatre was conducted by the Board on February 18, 1960: eighteen voted in favor, seven were opposed. Immediately after the vote was announced, Lerner made a strong statement reiterating the reasons why he believed it to be unwise and resigned from the Board.[2] He felt that the University had been too seriously compromised, and its educational objectives made too subordinate, for him to continue his affiliation. He remained bitter on this subject until his death.

Within a short time four other trustees submitted their resignations: Morris Hirsch, Robert Pollak, William Stapleton, and faculty trustee John Golay.[3] Golay also resigned from the University administration as of the end of the academic year. Another to resign was the vice-president for development, Wells Burnett, who contended that his work of helping to raise funds for the University would be undercut by the drive to restore the Auditorium. In part these resignations represented the resolution of a struggle for control of the University which had developed between Sparling, on the one hand, and Lerner (sometimes allied with Golay and Burnett) on the other.

This was the turbulent delivery out of which the Auditorium Theatre Council was born. It took a longer time and a more arduous effort than its supporters had anticipated to raise the money needed for the restoration. However, under the leadership of Beatrice Spachner, over $2.5 million was raised during the ensuing years. The Theatre was restored and, on October 31, 1967, was reopened to the public. Since that time, thousands have enjoyed the Theatre as the setting for cultural events sponsored by the Council and by others.

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[1] Minutes of the Senate Meeting, February 17, 1960.

[2] Minutes of the Board of Trustees, February 18, 1960.

[3] The resignations of the lay trustees were announced on March 8, 1960; Golay submitted his on March 10, 1960.

The Role of the Faculty Trustees

Although the final vote in the Board to establish the Auditorium Theatre Council was conducted by secret ballot, it would appear from the positions expressed at various meetings that among the seven trustees who were opposed were two faculty trustees. One of these two was an administrative officer elected to the Board by the faculty; the other was a member of the teaching faculty. The five other faculty trustees, all of whom were members of the teaching faculty, voted with the president and with the majority to establish the council. President Sparling has expressed his belief that this support from the faculty trustees was helpful, if not essential, to the passage of the Theatre Council proposal. Indeed, if these five faculty trustees had opposed the resolution, the vote might have been as close as thirteen to twelve.

The story of the establishment of the Auditorium Theatre Council and the struggle within the faculty and the Board was reported by the city's newspapers. Many of those from whom the Theatre Council sought funds gained the impression that the University was opposed to restoring the Theatre; others had the impression that the University had given away its ownership of the Theatre to the council. These misimpressions made the task of fund-raising more difficult than perhaps it might otherwise have been. Because of this increased difficulty and because of the history of controversy, the relations between the University and the Auditorium Theatre Council were strained at times and some of the predictions made by Leo Lerner regarding the ambiguities of the relationship were realized. However, in April, 1971, a statement of policies and procedures for the operation of the Theatre, in which a large number of the outstanding issues were resolved, was finally agreed upon by the Auditorium Theatre Council and the Board of Trustees of Roosevelt University.

Despite its ultimate resolution, this crisis affected the University more profoundly and for a longer period of time than any other in its history. The issues and events remained poignant for over a decade. One reason for this was that until it was resolved the matter was increasingly a mantle for the issue of who controlled the institution. By the end, it became an open struggle between Sparling and Lerner. Had Lerner not led the opposition to the establishment of the Auditorium Theatre Council, the faculty and administration dissension might have been resolved internally and not brought to the Board. But with so eminent a trustee suggesting the president was mistaken, the position of the dissidents within the institution was sanctioned.

Almost everyone recognized that it was the responsibility of the Board of Trustees to decide the issue, since it was in large measure a question of the utilization or disposition of real estate to which the Board alone held title. Furthermore, the Board alone was responsible for the fiscal consequences of the decision. Nonetheless, in the Roosevelt University tradition of faculty participation in decision making the issue was widely discussed outside the Board.

The faculty became involved to a larger extent than might otherwise have been the case because President Sparling took the issue to the Senate, as he had other issues in the past, and requested the faculty's support. Subsequently, the opponents also used the Senate as a forum to appeal for that support. Had the issue been confined to the Board, some might have been unhappy with its resolution, but the deep antipathy which was generated might conceivably have been avoided. Moreover, had the Board alone resolved this issue, as in the end it was required to do, the controversy might have been less disruptive to the faculty and staff. However, given the historical context of Roosevelt University where all the major decisions had been discussed by the faculty, this may not have been a feasible alternative for Sparling.

The Second President

The second critical issue which was studied to view the role of the faculty trustees grew out of the retirement of the

University's founding president and the decision by the Board to search for and appoint a successor.[1] The transition from the administration of one president to that of another is often a period of instability in American universities.[2] This is particularly likely to be the case when the transition is from the administration of the founding president or one with whom the institution is strongly identified. Roosevelt University was not spared these difficulties.

Selecting a President

The University's founding president, Edward J. Sparling, reached his sixty-fifth year in 1962. As the year approached he mentioned, on several occasions, his intention to retire. A faculty planning committee appointed by the Senate in 1961 recognized that a search would have to be conducted for a successor and, acting on that advice, the Senate recommended to the Board that it appoint a presidential selection committee to include members of the faculty. The report of the faculty planning committee was distributed to the Board by a faculty trustee who was concerned that the president might not transmit it.

The Board accepted the recommendation that a presidential selection committee be established and adopted a suggestion for constituting the committee which was proposed by the board chairman. The committee consisted of fifteen members, of whom five were selected by the Nominating Committee of the Board from among the lay members, five were selected by the faculty members of the Board from among the faculty,[1] and five were jointly selected by these ten from the general community.

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[1] The events of this critical period are reported on the basis of the author's personal observations, on the basis of interviews with a number of the key participants, and on documentary evidence. Accusations were made and strong feelings were engendered during this period. To safeguard the identity of the persons involved, some names have been omitted and the interviews have not been referenced specifically.

[2] Even the search process itself can be fraught with hazards as was entertainingly revealed by Warren G. Bennis in "Searching for the 'Perfect' University President," Atlantic, CCXXVII, No. 4 (April, 1971), 39-53.

The committee worked very hard for more than a year. The credentials of a great many candidates were screened and a number were personally interviewed. Because it was known that this process was underway, Sparling entered a period of "lame-duck" leadership, and, consequently, some tensions began to develop within the institution. The selection committee found itself under considerable pressure to find an acceptable candidate.

The presidential selection committee was chaired by a highly respected and influential lay trustee who was later elected chairman of the Board. In the end, the other members of the committee accepted his advice and recommendation. Similarly, the Board adopted the selection committee's recommendation without additional scrutiny.

The man chosen to succeed Sparling was a forty-two year old political scientist who had been trained at Fordham and the University of California and was then on the faculty of Indiana University. Prior to his selection by Roosevelt, he had helped manage a successful political campaign. He seemed to the committee to be a man who combined both scholarship and action. Moreover, the liberal-democratic image associated with the candidate for whom he had worked was thought to be congenial to the Roosevelt University milieu. Later some reflected that perhaps his actual administrative experience had been too limited at the time of his appointment, but all looked forward to his coming. The new president of Roosevelt University assumed his responsibilities on a part-time basis January 1, 1964, and full-time that February.

Difficulties Emerge

Although many in the institution accorded the new president a "honeymoon" period, and some developed deep loyalty to him, difficulties arose in his administration at a relatively early point. The sources of these difficulties were several. One was undoubtedly the result of unrealistically high expectations. Sparling had held an unusual position as the institution's founding president, and it was he who had the moral courage to break with the Central YMCA College. Although Roosevelt continued to experience financial difficulty and although faculty participation in governance led to many embroilments between the president and the faculty over the years, nonetheless, the University had grown accustomed to Sparling's mode of leadership. The new president was expected to provide academic leadership, involve full participation from the faculty, and at the same time generate new sources of community support. In other words, he was to do all that Sparling had done and all that he hadn't.

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[1] The five faculty members on the presidential selection committee were all members of the Board.

The new president may have failed to fully understand the complex institution over which he assumed direction. There were many paradoxical elements which made this failure understandable. On the one hand, there was deep financial need, and on the other, strong pride which was highly critical of certain efforts to change the institution's image in ways which might have made it more attractive to donors. There was a strong and openly recognized tradition of participation by the faculty in governance, but there was an even stronger, although less recognized, tradition of participation by the University's major administrative officers in all policy matters. There was lack of order, system, precision and method in many of the institution's administrative and house-keeping procedures, but attempts to standardize, routinize, and organize by instituting hierarchical procedures developed elsewhere were not well received although often recognized as necessary. This lack of system and organization was disconcerting and troublesome to the new president; he believed it seriously hampered his success in developing a systematic fund-raising effort.

Further, although he was aware of the dramatic impact of the first decisions in the tenure of a new president, and although he sought to make decisions which would win the sympathy and support of his faculty and administration, he experienced considerable negative reaction to certain early decisions. Some of these decisions involved what to some were questionable expenditures of the University's scarce resources. It was believed by many that his decision to bring with him two assistants, at higher salaries than customary, as well as to retain the one who previously had been responsible to Sparling, and his decision to expand the size and improve the furnishings of the president's office suite, reflected an insensitivity to the institution's history of poverty and its existing deficit, and revealed a need for personal aggrandizement at the expense of the University. Subsequently, a number of personnel changes, particularly the decisions to replace the vice-president for fiscal affairs and the acting dean of faculties with individuals he felt would be more aggressive, more responsive, and more loyal, aroused both criticism and anxiety in an institution which had had relatively low administrative turn-over.[1] On the other hand, he felt that however unpopular or unwise these decisions might seem to some, they were an essential precondition to helping the University break out of a cycle of insufficient staff, low self-esteem, poor public image, and inadequate fund-raising. He saw his critics as the source of the institution's stagnation. Moreover, he felt that he had the support of the board chairman for whatever staff changes needed to be made.

Another source of trouble was the president's ambitious decision to propose to the Board a budget for the coming fiscal year which called for an amount to be raised in unrestricted funds which was considerably in excess of the institution's previous annual fund-raising experience. Although the Board adopted this "high-risk budget," some disaffection ensued when it became clear that fund-raising would not meet the projected level.

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[1] Between February and July, 1964, resignations were accepted from the director of development, the director of educational information, the acting dean of faculties and the vice-president for fiscal affairs. In addition, a number of new positions were created (e.g., research coordinator, business manager). Anxiety was aroused also by the institution of a numerical rating scale for all faculty and staff to which salary increases were to be related, the elimination of contracts for all new administrative appointees, and the decision to conduct compulsory in-service training for all administrative personnel. (See Minutes of the Administrative Council for 1964 for discussion of these and other changes.)

The Administrative Council

In short, within the first few months of his administration, the new president found himself in some difficulty. The center of this difficulty was the Administrative Council, a body of the deans and division directors who felt that their traditional role of providing advice and consent was being overlooked or challenged.[1]

One member of this Administrative Council, the dean of the College of Business Administration, was a faculty-elected member of the Board of Trustees, and was on the Board's Executive Committee during this entire period. The man who was acting dean of faculties until August, 1964, and as such was a member of this council until that time, was elected by the Senate in May as one of the faculty trustees, even as the tensions between him and the president were becoming public knowledge.[2] In this capacity he served on the Board from October until his death in December of that year (1964). In other words, within two months after his election as a trustee, his resignation as dean of faculties was requested, and he served on the Board for four months after his resignation from that position was in effect. Two other members of the Administrative Council, the dean of the College of Arts and Sciences and the dean of the College of Music, had formerly been faculty Board members, although they were no longer.

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[1] The Administrative Council had also acted in a legislative capacity on certain matters; but, even when only advisory, its decisions had almost always been accepted by the president who served as chairman. Tensions were raised in this group when it was felt that its traditional composition was being extended by the president to include more of "his men." (The Minutes of the Administrative Council for this period reveal much of this tension, although much went unrecorded.)

[2] The faculty trustee, not reelected, whose place he took was known to be a supporter of the new president.

The fight against the new president was led by, and almost exclusively confined to, members of the Administrative Council.[1] That four members of the Administrative Council held or had held positions as faculty members of the Board, and a fifth had attended Board meetings as treasurer and vice-president for fiscal affairs was undoubtedly of importance in influencing events. Some observers and participants believe it was a decisive consideration. The issues were not fought out within the full Board, however, and the teaching faculty who were on the Board were relatively uninvolved.

The first-name familiarity with certain of the influential lay members of the Board, particularly with the board chairman, which had been gained by these administrators in their capacity as Board members, gave them access to these trustees permitting them to tell their part of the story. This accessibility, and the history of their prior work together on the Board, were factors which undoubtedly made it easier for these administrators to convince the lay trustees that the president was making injudicious decisions. Ultimately, it enabled them to persuade these trustees to withdraw their support from the president. Some of this contact took place with the prior knowledge of the president, other contact was not known to him until afterwards. Clearly, it was in violation of the bylaw which specified that the president was the channel of communication between the faculty and the Board. In the words of one participant: "We simply violated the rules because we thought of a higher goal."

Some of this contact with lay members of the Board was justified as permissible by the individuals involved because, they said, they were acting as trustees rather than as administrators. Despite the fact that the board chairman had issued a memorandum to the trustees early in the year reaffirming the necessity of channeling all communication to the Board through the president, and despite a later appeal by the president to the chairman that he put a stop to all such communication, the board chairman apparently took no strong hand in the matter and allowed it to continue.[1]

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[1] This group included the four who were then, or who had been, members of the Board as well as several who had not been, and were not then, Board members.

Having been persuaded that there might be some substance to the allegations of the administrators, the board chairman asked one of the lay trustees (later elected a vice-chairman) to inquire into the matter for him. At the beginning of July (1964), a meeting was held outside the University where these matters were discussed with the president who was asked to respond to the allegations of three of his deans in the presence of the board chairman and a small number of key trustees. This meeting was later acknowledged to have been a crucial point in turning the opinion of these important trustees against the president.

Attempted Compromise

The board chairman and some of the lay trustees he consulted hoped that a compromise or modus vivendi could be worked out between the president and the members of the Administrative Council (at least temporarily if not as a permanent measure). At the chairman's request, and with his help, a plan was worked out by the president and the deans and presented to the Executive Committee of the Board on October 21, 1964. This plan, which was adopted by the Executive Committee and ratified by the Board the following day, defined the Administrative Council to exclude the president and his assistants, and delimited its membership to the six deans,[2] the treasurer, the director of development, the directors of the non-credit divisions, and the librarian.[3] The Council was to elect its own chairman and would submit its recommendations on administrative and personnel matters to the president.

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[1] Although the president was aware of some of this contact, he took no punitive action against the administrators involved, nor was any taken or recommended by the board chairman.

[2] These were the deans of the three colleges, the graduate dean, the dean of faculties, and the dean of students.

[3] This definition excluded three individuals who had recently been added to the council by the president.

Any disagreement between the president and the Administrative Council would be submitted to the Executive Committee of the Board of Trustees for final decision. All salaries above a certain level would be specifically approved by the Executive Committee which would also review annually the appointment of each board-approved staff member (i.e., president, vice-presidents, deans, controller). No staff member in this category was to be dismissed without Board approval. The plan also called for the controller-treasurer to report directly to the chairman of the Board rather than to the president as in the past.

The Board approved this plan at the same meeting that it reaffirmed the existing slate of University officers (including the president).[1] It was announced to the University Senate by the president who added, explicitly and by implication, that he hoped by these arrangements to be freed from administrative problems and thus be enabled to spend more time and energy on fund-raising.[2]

The plan was instituted, but it did not resolve the tensions existing between the two factions in the University, nor did it prove to be an efficient administrative arrangement. During November (1964) a series of matters were referred by the president to the Administrative Council on which he felt its response was inadequate. Similarly, the president delayed in responding to the Administrative Council on matters which it had referred to him for confirmation and implementation.

Both the president and the Administrative Council had what amounted to veto power over the other's decisions. Since the Executive Committee of the Board, which by the terms of the agreement was supposed to resolve such disputes, included both the president and one of the dissident deans,[3] matters were really thrown into the hands of the board chairman.

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[1] Minutes of the Board of Trustees, October 22, 1964.

[2] Minutes of the Senate Meeting of October 21, 1964.

[3] This dean was elected chairman of the re-organized Administrative Council against a candidate who had been appointed to his position by the new president. The split vote reflected the division between the president's supporters and his opponents. (Minutes of the Administrative Council, October 26, 1964, and interviews.)

Despite the affirmative manner in which this plan had been presented, it was obvious that a considerable amount of the president's authority had been revoked. This fact became evident to the students and was the source of a new element in the crisis.

Denouement

The November 16, 1964 issue of the student newspaper, the Torch, carried an article which, in a large-type heading, alleged that the president was "fired." This was qualified, in the story below, as "unofficially fired." The article alleged that the president had "no administrative power as the result of action taken at a recent meeting of the Board of Trustees. . . . to quell the long-smoldering 'revolt of the deans.'" Citing unnamed "Roosevelt sources" for its information, it went on to discuss the institution's debt and predicted its demise within two years.[1] This article created something of a furor within the University and exacerbated the existing tensions between the president and members of the Administrative Council.

It was clear from the article, and from meetings which were held by the Administrative Council and by the president's assistant with the editors of the Torch, that the students had been briefed by some official of the institution, but the editors would not reveal his identity and no one identified himself. So tense was the situation that the president and the deans each suspected the other of "leaking" the article to the Torch. The president suspected that the deans were seeking to embarrass and discredit him, and the deans suspected the president of contriving a situation in which the chairman of the Board would be forced to deny the allegations and give him a public expression of confidence.

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[1] Torch, Roosevelt University Student Newspaper, November 16, 1964, p. 3. Although carrying Monday's date, this issue was released, as was customary, on the preceding Saturday morning, November 14, 1964.

The Administrative Council, meeting in an emergency session on the Saturday afternoon of the paper's appearance, decided to temporarily impound all available issues of the Torch. The issues were released when the editors agreed to run an insert page of the same size and format which would carry statements by the president and the chairman of the Board. An insert page was produced by the students, but it contained editorial comment which was deemed unacceptable by both the president and the chairman of the Administrative Council. The student editors insisted that the impounded edition be returned to them before they would discuss or take any further steps toward correction. The president, against the advice and to the considerable annoyance of the council, released the newspapers to the students.

The Torch article and the way the issue was handled was a source of considerable embarrassment to everyone in the University. Much anger was focused on the unidentified source that had "leaked" the story to the students. The Administrative Council voted its condemnation of this act. Although the informant's identity was never revealed, there was later some suspicion that one of the members of the council, acting alone, provided the students with his own interpretation of the board-approved reorganization plan together with some gratuitous observations about the University's finances. In any event, it is clear that the president was not fired.

Resignation

The article appeared to be premonitory, however, for on December 3, 1964, the president addressed a letter of resignation to the chairman of the Board. Whether he intended this resignation to be made public and acted upon immediately, or whether the letter was submitted as a gesture of consideration for the board chairman and to obtain a reconfirmation of his support, is unclear. In any event, word of this resignation found its way to the press. The president was out of town at the time and could not be reached for comment, but it was confirmed by the board chairman. The Executive Committee met on December 17 and voted to accept the resignation as did the Board at a special meeting held on December 23. On December 31, the Executive Committee met again to designate the chairman of the Administrative Council as acting president of the University as of the following day--exactly one year after his predecessor had taken office.[1]

The Role of the Faculty Trustee

The faculty members of the Board who were not administrative officers of the University were not important participants in this struggle. One made a gesture towards harmony within the institution by inviting all of the protagonists as well as the president-emeritus to his home for a summer party. Most remember the occasion as having been socially awkward, with the principal individuals, surrounded by clusters of their supporters, keeping well away from each other throughout the evening. But beyond such superficial contacts, the faculty members were uninvolved. Most were not fully aware of the drama going on between the president and the deans.

Clearly, the administrative officers who were on the Board played an important role. But although those administrators who were or who had been on the Board found this to their advantage, they did not think of themselves as "faculty trustees"--they regarded themselves as administrative officers. This distinction was not acknowledged by the president who regarded the policy of faculty representation on the Board as responsible, in large measure, for his difficulties.

Summary and Comparison of the Two Crises

In order to determine how faculty trusteeship has functioned at Roosevelt University, two crises were analyzed. The first crisis was the one associated with the Board's decision to restore the Auditorium Theatre and to establish the Auditorium

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[1] Minutes of the Executive Committee of the Board of Trustees, December 17 and 31, 1964, and Minutes of the Board of Trustees, December 23, 1964.

Theatre Council as the vehicle by which to accomplish this. The second crisis was that which led up to the resignation of the University's second president. These two crises were probably the most severe in the institution's history, and were experienced as periods of instability and tension by members of the faculty, administration and governing board as well as by some of the students.

The move to restore the Auditorium Theatre had its origins even before the University purchased the property in 1946. Two men in particular--Joseph Creanza and Edward J. Sparling--were fired with a vision of a restored Theatre serving as a center for programs in the arts which would not only enrich the curricular offerings of the University but would make of it a cultural center for the entire metropolitan area. When it became apparent that the Theatre could not be restored by the University unaided, these men kept this dream alive for a decade during which the Theatre was closed and unusable. Beginning with the centennial of architect Louis Sullivan in 1956, a series of events transpired in Chicago which reopened the possibility of the Theatre's restoration. These events included the demolition of another of Sullivan's "architectural masterpieces," the possibility that the Chicago Symphony Orchestra might have to move to new quarters, and the lease of the Chicago Opera House for use as a movie theater making it unavailable for staged performances. In the wake of these events the president urged the Board to restore the Theatre, and he urged the faculty to support his position with the Board.

As restoration of the Auditorium Theatre became a viable possibility, controversy developed within the institution along two lines. Some opposed the restoration as being uneconomical and inappropriate use of the University's limited space. This group thought that the Theatre either should be converted into the classrooms, laboratories, and faculty offices needed by the University, or it should be leased (or sold) as commercial space for whatever purpose (auditorium, parking lot, or other) which would bring the highest revenue. Another group thought that the Theatre should be restored, but by some agency (private or public) other than the University and by means of an "arms-length" agreement which would disengage the University from direct responsibility, protect it from obligation and guarantee it at least a minimum annual income. Several direct offers of this type were received by the University, others were extended indirectly.

In an attempt to develop a compromise between those who wanted to have the University retain the benefits of the ownership and operation of the Theatre and those who wanted it to have the legal and financial protection of disengagement from the risks of restoration and operation, a proposal for a quasi-autonomous Auditorium Theatre Council was developed by Beatrice (Mrs. John V.) Spachner, a trustee of the University. The issue of whether to restore the Theatre became subsumed in the question of whether to adopt this proposal.

The Board backed into the decision to restore the Theatre in three steps. The first, taken in February, 1959, established the Auditorium Restoration and Development Committee, but gave it no power beyond that of studying and recommending. The second step, taken in October, 1959, permitted this committee to begin raising funds. The third step was taken in February, 1960, when the Auditorium Theatre Council was established as the agency to restore and operate the Theatre.

Opposition to these plans and proposals was led by a former board chairman and by the dean of faculties (who had been elected to the Board by the Senate). Although several of the lay trustees joined in this opposition, only one other faculty trustee did. Some of the faculty trustees who supported the proposal did so out of loyalty to the president (as--presumably--did some of the lay trustees).

The issue engendered such strong feelings that when the decision to establish the Auditorium Theatre Council was finally made, a number of the opponents submitted their resignations from the Board. Those resigning included two administrative officers who had been opposed to the Theatre (but no member of the teaching faculty).

The second crisis involved the transition from the founding president to the second president of the University. The new man soon found himself embroiled in conflict with certain of his administrative officers who were on the Administrative Council, an advisory and policy making body which had acted as a president's cabinet. Several members of this council had been or were then members of the Board of Trustees having been elected by the faculty; one was on the Executive Committee.

Having worked with the lay trustees and the board chairman over a number of years, these administrative officers were on a first-name basis with many of them. Consequently, it was easier than it might otherwise have been for these administrators to gain access to the trustees and convince them to question some of the president's decisions and actions. Neither the president nor the board chairman acted strongly to stop this contact with Board members.

At the initiative of the board chairman an attempt was made to formulate a compromise agreement whereby the Administrative Council was made more autonomous and was authorized to elect its own chairman. Disagreements between the president and the Administrative Council were to be adjudicated by the Executive Committee of the Board.

When the editors of the student newspaper were informed about this plan, they described the arrangement in terms of the president's having been "unofficially fired." The reaction to the appearance of this article further exacerbated tensions between the president and the council.

Within three weeks after the article's appearance the president submitted a letter of resignation to the board chairman. Whether this was to elicit a confirmation of support, or whether it was intended to be acted upon at the end of the academic year or immediately, remains unclear. A copy found its way to the press; it was confirmed by the board chairman and subsequently accepted, first by the Executive Committee and then by the whole Board. The chairman of the Administrative Council was then made acting president.

Unlike the issue of the Auditorium Theatre, this second issue was never openly brought to the faculty, nor were the members of the teaching faculty who were on the Board directly involved.

It was brought to the Board only after it had been fought out in the Administrative Council and with a small group of key trustees and after the president had submitted his resignation.

In both situations, administrative officers whose opposition to the president was known to the faculty were elected to the Board. In both situations administrative members of the Board, rather than teaching faculty, led the opposition to the president. In both situations there was behind-the-scenes contact between members of the administrative staff and members of the Board. Like the Auditorium Theatre crisis, this problem was ultimately resolved by what was perceived as a complete victory for one side over the other. In both situations attempts to bring about a compromise failed. In both, the issue boiled down to a matter of loyalty for or opposition to the president. In both situations the losers felt their situation in the institution untenable and so were forced to leave the University. Both situations generated considerable tension and anxiety throughout the institution. This was particularly true as the conflicts dragged on and while their outcome was uncertain. Once the outcome was clear and the "losers" had left, the institution was able to resume its normal course, although in each case a residue of feeling lingered for several years.

PART IV

FINDINGS AND IMPLICATIONS

The findings and implications of this study are presented and discussed in Chapter VII which includes a summary, conclusions, implications, and suggestions for further study.

CHAPTER VII

SUMMARY, CONCLUSIONS AND IMPLICATIONS

Summary of the Findings

This work has been a study of the history of faculty representation on the governing board of Roosevelt University. It has traced the origins and the outcomes of that institution's two and one-half decades of experience with this mode of governance. The manner and extent to which the faculty trustees have functioned in the governance of the institution was illuminated by an analysis of two critical incidents in its history and by a briefer discussion of a third. Roosevelt University was an appropriate institution to study because it has had the most extensive experience with this form of governance of any college or university in the United States, with between five and seven elected faculty representatives on its governing board (with vote) since its founding in 1945. It was appropriate to conduct this study now because of the heightened interest expressed by many faculties and many boards in the possibility of board membership for representatives of the faculty.

The experience of Roosevelt University with faculty representation on its governing board was placed in the context of the governance of American higher education by means of a discussion of the origins and functions of college and university governing boards in this country, a review of the major studies of governing boards, an analysis of the arguments for and against faculty representation on governing boards as discussed in the literature on higher education, and an identification of the extent to which faculty representation on governing boards has been and is being adopted by other colleges and universities.

Although faculty trusteeship has been rather uncommon in American higher education, it has been the subject of a considerable literature extending back over the past sixty or seventy years. Within the past three or four years there has been a renewed interest in exploring alternatives to the traditional pattern of lay governance in American higher education; faculty trusteeship is one of several alternatives which have attracted attention.

Many have alleged that the control of institutions of higher education by lay governing boards had its origins in, and was unique to, the United States. Other scholars, notably Cowley, Conant and McGrath have challenged this assertion and have traced the origins of the lay governing board to the medieval Italian universities. The first lay governing board may have been established by the Council of Florence in 1348 to govern the university in that city and protect the faculty from the harsh rule of the students. The universities in Pisa, Padua and Genoa also had what amounted to lay control. This pattern was subsequently adopted by universities in Holland, Switzerland and Scotland before being imported to these shores. It was particularly congenial to the Calvinist concept of the role of laymen in ecclesiastical affairs and so was easily transported from Calvinist Scotland to Puritan New England.

Yale (in 1701) and Princeton (in 1746) were the first two American institutions to be started and continuously governed by unitary, non-resident, boards of laymen (i.e., non-scholars), thus setting the precedent for what became the general pattern of governance of American higher education. The two collegiate institutions founded prior to that time, Harvard (1636) and William and Mary (1693), were both exceptions to this pattern. Both had dual rather than unitary governing boards and both had faculty members serving on (or controlling) one of these two boards during the colonial period. Faculty involvement in the governance of these two colleges and other institutions of higher education in this country virtually ceased after the American Revolution.

Initially the "laymen" who were in control of most collegiate governing boards were clerics who guarded the catechism of their institution. Gradually during the nineteenth century, control passed to men of wealth and of affairs who could provide financial support for the institution and guide its business transactions.

These governing boards of laymen have had complete legal control of the colleges and universities in this country. Not infrequently, this control was exercised. Governing boards and board members were called upon to perform a wide variety of functions. In general, however, they represented (or were supposed to represent) the community at large, in whose interests the institution was being run. Recently many observers have reported an erosion of the authority of the governing board, some lamentingly, others with relief.

There have been a number of studies of college and university governing boards dating back to a 1917 study by Scott Nearing. These studies have established that most governing boards are composed of wealthy business executives and professional men. Relatively few educators serve on these boards. Less than half of the college and university presidents are ex officio members of the boards of the institutions they administer. Only a handful of members of such groups as faculty, students, Blacks, women, Jews and labor leaders are to be found on the governing boards of the colleges and universities in the United States. Although a slight trend towards the inclusion of such individuals, particularly Blacks, has been observed in the last year or two, it has yet to be of significance. Nonetheless, there appears to be an increasing interest in broadening board membership.

A study conducted by Hartnett for the Educational Testing Service in 1969 found that only 4 per cent of college and university trustees were faculty members and one-fourth of that amount was accounted for by Catholic institutions. (This percentage would be even smaller were it to reflect only those faculty-trustees who were on the board of their own institution.) The Indiana University study of governing boards reported only eight private, independent colleges having faculty-selected members on their boards. Yet in a recent survey of faculty opinion conducted by the Carnegie Commission over 85 per cent expressed the belief that there should be faculty representation on the governing board of their institution and in comparable surveys of trustees nearly half have indicated their support for the concept.

Although lay governing boards have been the norm in American higher education, they have been criticized at least as far back as 1829 when Francis Wayland remarked that "the man who first devised the present mode of governing colleges in this country has done us more injury than Benedict Arnold." The literature of higher education has contained a lively debate on this matter over the years. One recommendation often made and equally often denounced was that faculty members be added to the Boards of their institutions.

Advocates of faculty trusteeship have based their reasoning on one or more of five principal arguments: (1) in a democracy a college or university governing board should be a representative body, at least in some respects. This representation should include faculty. (2) Faculty representatives are needed to provide the professional competence to understand and interpret the educational and academic issues which a board is called upon to decide. (3) Faculty members are needed to strengthen a board's resistance to attacks against academic freedom. (4) Faculty representatives on a board enhance understanding and facilitate communication between the faculty and the trustees. (5) The United States should adopt the example of other countries where university faculties have greater authority and more power in the governance of their institutions than is customary here.

Those who opposed faculty representation and defended the lay board have used some variation of these arguments: (1) The function of a college or university board is to represent the general public in whose interest and with whose suffrage the institution is operated, not the interests of one or another component of the institution. (2) Faculty trusteeship increases campus factionalism and politics and leads to indiscretions and conflicts of interest. (3) Faculty trusteeship is syndicalism, not democracy, and leads to narrowness, rigidity and conservatism. It is not in the public interest. (4) The practice is bad administrative policy because it obfuscates the lines of authority and responsibility. (5) Faculty lack the aptitude and the practical wisdom to make the administrative and financial decisions which boards are called upon to make.

The opponents of faculty representation have clearly been ascendent in American higher education. Nonetheless, a few institutions have experimented with faculty representation on their governing boards. Cornell University, which already had an unusually democratic board, was, in 1916, probably the first modern institution in the United States to experiment with faculty representatives on its board. (It was not until 1956, however, that these representatives were given the right to vote.) Prior to its adoption by Roosevelt College in 1945, some variation of this mode of governance was tried at the Institute for Advanced Study in Princeton, Wellesley College, Antioch College, Goddard College, Haverford College, Sarah Lawrence College, and Black Mountain College. Subsequently, a handful of other institutions have adopted the practice and some have added students to the board. Student agitation has led to the inclusion of both faculty and student representatives on the governing board of more than one institution in recent years.

The idea of including faculty-elected representatives on the board of Roosevelt College originated with its founding president, Edward J. Sparling. Sparling, who had been president of Central YMCA College in Chicago was motivated by his difficulties with the board of that institution. He had encountered a series of obstacles with that board which threatened to curtail the academic freedom of the institution. These tensions culminated in an attempt by that board to impose racial and religious quotas on the admission of students. After unsuccessfully trying to get the YMCA to relinquish control of that institution, Sparling decided to form a new college, and a majority of the faculty and students opted to follow him.

Sparling attributed much of his difficulty with the board of Central YMCA College to the fact that it was composed of people who all had similar backgrounds and points-of-view and who represented only a narrow range of society. He wanted the board of the new institution to be diversified and to include minority representation. He conceived of a board of twenty-one members: ten of whom would be faculty (elected by the faculty), ten of whom would be laymen (elected by the board), and the twenty-first would be the president. The faculty were reluctant to assume so large a share of the responsibility for governing the new institution and the plan was modified, at their recommendation, so that the faculty elected five of the twenty-one members. By the time classes opened in September, 1945, the governing board of Roosevelt College included a Catholic, a Negro, labor union leaders, Jews, a newspaper editor and a publisher, Protestant business executives, and five members of the faculty elected by the faculty. It was hailed as the most diversified and heterogeneous governing board of any collegiate institution in the country and it attracted considerable public attention in both popular and professional journals. The heterogeneity of the board reflected a similar heterogeneity in the faculty and the student body. Some thought was given, particularly be some of the lay trustees, to broadening the representativeness of the board still further by including one or more students. But this idea met with little enthusiasm in the faculty, failed to spark the students to formulate any strong demand of their own, and was dropped.

Reacting to the situation at its predecessor institution and to the social climate prevailing at the end of World War II, the new college attempted to be a model of democracy in higher education. In addition to electing representatives to the Board, the Roosevelt College Faculty cast votes of confirmation and confidence for the president and the deans. A formal grievance procedure, a faculty budget committee and other egalitarian measures were also adopted. The institution's founders thought that the faculty representatives would help preserve academic freedom against attack and help articulate and effectuate the aspirations and ambitions of the faculty.

Although initially there was some difference of opinion as to whether the faculty should instruct its trustees how to vote on given issues, the faculty and the Board soon decided that these representatives were "free moral agents" who might be guided by faculty opinion but who were free to vote as they judged best.

Nonetheless, certain of the procedures used by the faculty to elect their representatives, such as one-year terms and proportional representation, gave assurance that these trustees would be responsive to faculty opinion. There were no eligibility requirements for the faculty trustees or limitations with regard to rank, tenure, seniority, or discipline, except that only two of the representatives elected by the faculty could be members of the administrative staff. The constitutional provisions regarding the election of the faculty trustees were designed to encourage representation of diverse viewpoints within the faculty.

During the first few years these constitutional provisions were the subject of frequent debate and modification. Staggered three-year terms were adopted as were provisions to hold the elections by secret ballot with open nominations and plurality vote. Since 1948 these elections have been held in May, with those elected taking office the following fall. The bylaw that the president, not the faculty representatives, is the channel of communication between the faculty and the board was agreed upon at the outset, and has not been changed.

The first two increments in board size were accompanied by increments in the number of faculty representatives so that the proportion of faculty to lay trustees remained the same. In 1961 the Board increased its size again (to forty-two members), but at the suggestion of the faculty the number of faculty representatives was maintained at seven. The Board increased its size to provide additional places for benefactors (or potential benefactors), a tendency common to the boards of most private colleges and universities which, as a consequence, are usually larger than the boards of public institutions.

As the Board grew in size the Executive Committee, elected by the Board, played an increasingly important role. The president and at least one faculty member have always been members of the Executive Committee. Prior to 1950 the faculty member on the Executive Committee was an administrative officer. The teaching faculty were concerned that they had no direct representation on that committee and so in that year a member of the teaching faculty was elected to the committee by the Board. In 1951 the

Board made it a matter of policy to elect at least two members of the faculty to the Executive Committee, but raised the size of the committee from seven to nine. This policy has been carried out every year since. In 1970 the authorized size of the Executive Committee, following one of Parkinson's Laws, was increased again, to eleven.

Although apparently not anticipated by the institution's founders, faculty participation in Board affairs has been greater than that suggested by the percentage of their members to the total authorized membership. The faculty always elected their full complement of members and promptly filled any vacancies, whereas the Board did not. Consequently there have almost always been one or more vacant positions on the Board. In some years these vacancies amounted to almost 15 per cent of the total authorized Board membership. Moreover, the attendance of faculty members at Board meetings was much more regular than that of the lay members. Consequently between one-quarter and one-half of the trustees present at any meeting were apt to be faculty.

Slightly over one-third (thirteen) of the thirty-six individuals elected by the faculty to be trustees between 1945 and 1970 have held full-time administrative positions such as dean of a college or dean of faculties. The others were members of the teaching faculty divided between the University's three colleges in approximate proportion to the number of full-time faculty in these units (nineteen in Arts and Sciences, three in Business Administration, and one in Music). The administrative officer most apt to be elected to the Board by the faculty was the dean of faculties, although not every dean of faculties was so elected. The faculty-elected trustees have served on the Board an average of 4.5 years compared with 7.1 years for the lay trustees.

The president regularly gave full reports of Board meetings to the Senate and to the entire faculty in his monthly newsletter. Since 1950 the faculty trustees have had the opportunity to report to the Senate, but generally there was little left for them to report and this forum was used from time to time to convey comments and interpretations of Board actions. Occasionally, in times of crisis, there was communication between faculty members and trustees outside of these regular channels. Such communication was facilitated by the development of acquaintanceships between faculty and lay trustees in their work together on the Board.

There has been no issue in the twenty-five year history of the University on which there was a clear division of opinion between the faculty and the lay trustees. Nor has there been an instance of outright support by the Board for a position taken by faculty trustees in opposition to the Faculty Senate or the administration. Only rarely have the faculty trustees opposed proposals coming to the Board with such endorsement. The Faculty Senate has submitted recommendations to the Board from time to time, and the Board has almost always supported these recommendations. The clearest example of an instance in which some of the faculty trustees forestalled the plans of the Faculty Senate and the administration was the compromise which was reached in 1950 regarding the establishment of a School of Education.

In the School of Education issue, as in the two crisis situations which were singled out for special study, the faculty trustees who were administrative officers of the University were the most actively involved. In these situations opposition to the president was led by the administrative members of the Board, not those on the teaching faculty. Behind-the-scenes contact between certain administrative officers and certain lay trustees, particularly with those who were officers of the Board, was a component of each crisis.

The crisis situations tended to polarize the University community in a way that made attempts at compromise fail. As these situations unfolded the original issues became absorbed in the over-riding issue of loyalty for or opposition to the president. In one instance the president was seen as having been victorious and two of the administrative officers and several of the lay trustees resigned. In the other instance the administrative officers were perceived as having "won" and the president and his administrative assistants resigned.

Conclusions

In the introduction to this study certain questions were posed as research objectives. There appears to be sufficient evidence available to formulate answers to these questions.

Why did Roosevelt College adopt the practice of electing faculty members to be trustees?

The practice was initially suggested by the founding president, Edward James Sparling, as a reaction to experiences he had had with the board of Central YMCA College. It was one of several practices adopted by the faculty and the Board of Roosevelt College in their attempt to make that institution a model of democracy in academic governance. Faculty trustees were thought to be desirable as a bulwark against attacks on academic freedom and as allies of the president in interpreting to the board the aspirations and ambitions of the academic community.

What have been the outcomes of that practice?

The practice has neither been as disastrous as predicted by some of its opponents, such as Floyd Reeves, nor as beneficial as predicted by some of its advocates. The faculty trustees did not form a bloc or vote as a unit on the Board nor did they find themselves as a group opposed to the lay trustees on any issue. On certain major issues in the history of the University some of the faculty trustees, particularly those who were administrative officers, played an active role. But, for the most part, the faculty trustees, although faithful in attendance at Board meetings, were not the leaders of the Board. The faculty trustees did tend to support matters which would benefit the entire faculty (such as overall increases in faculty salaries), but there is no evidence that these trustees acted to favor their own college, their own department, or themselves.

Because of its various governance provisions, including faculty-elected trustees, Roosevelt University has been seen by many as an unusually democratic and "open" institution. This openness undoubtedly has had an influence on the decision of some faculty, students, and lay trustees to join the institution.

Did faculty trusteeship function as was intended by the institution's founders?

Faculty trusteeship did not function entirely as was intended; there were some unanticipated consequences and some expectations which were not fulfilled. It was not anticipated that the faculty trustees would be so much more regular than the lay trustees in their attendance at Board meetings nor that there would frequently be vacancies in the positions for lay trustees. The founders did not foresee the familiarity which would develop among faculty and lay trustees working together and the consequences of this familiarity in terms of communication between the faculty and the Board. In this respect the founders appear to have overreacted to the situation at Central YMCA College and overlooked some of the psychodynamics of how people function in a group. It was also expected that there might be sharp divisions between the faculty and the lay trustees over issues; but at Roosevelt, unlike its predecessor, these did not occur.

On the other hand the faculty has taken its obligations and responsibilities most seriously, as was expected. The constitutional provisions regarding the election of the faculty trustees were reviewed and revised so that they might be perfected. The faculty has elected as trustees individuals who were regarded as leaders and people of judgment. These positions were held in high esteem and the elections, particularly in the early years, were taken most seriously. Those elected have been the most conscientious of trustees in terms of attending meetings, serving on committees, and the like.

Probably the most significant variation from what had been anticipated at the beginning was the decision by the faculty not to retain a fixed percentage of the Board members. They came to the conclusion that it was more important for the University to have wealthy and influential trustees who would help support it and that such people might feel the Board was dominated by the faculty if the percentage of faculty trustees remained constant as the Board continued to grow in size. In reaching this conclusion the faculty echoed its earlier decision not to accept a majority of the board membership. In both instances the faculty chose not to occupy an undue number of positions which might otherwise be held by individuals who could give financial support to the institution.

The founding president, whose idea it was to have faculty representatives on the Board, had anticipated that these representatives would be allies against the lay members. On some issues some of the faculty trustees did come to his support. On other issues, however, he found himself at odds with some of the faculty trustees. To this extent he became disillusioned by the practice and questioned whether it had worked as intended. These doubts were held even more strongly by the institution's second president who, in common with most college presidents, saw opposition to his plans as attempts to thwart the progress of the institution.

What factors or events accounted for the discrepancies?

To the extent that there were discrepancies between the expectations of the founders and actual experience they can be accounted for by the enthusiasm and idealism which was engendered by the "revolution" out of which the institution was founded. Sparling and the faculty had been made somewhat fearful of lay governing boards by the events at Central YMCA College. They envisaged an ideal solution, a heterogeneous and diversified board functioning in harmony. In large measure this was achieved, but gradually and inevitably some of the enthusiasm and excitement wore off. No counterrevolution ensued but the faculty came to be less apprehensive about the lay trustees and more appreciative of their importance. The Roosevelt governing board did not become the foreboding eminence which the board of Central Y was remembered as being. It was responsive (if not always obedient) to the requests of the Senate and made no attempt to thwart either the academic freedom or the academic aspirations of the faculty. If the faculty trustees did not always side with the president this was perhaps a measure of their independence for they certainly did not always oppose him.

Were there issues or instances in which the faculty played a significant or decisive role?

Yes, at several points during the history of Roosevelt University the faculty trustees clearly played a significant, if not decisive, role. Such instances were not as numerous as the institution's founders anticipated nor were the faculty trustees ever unanimously aligned against the lay trustees. Certain individual faculty trustees were influential in the University's decision to purchase the Auditorium Building property, in the decision regarding the establishment of a School of Education, and in the two crisis situations which were studied. Moreover, in at least one instance a faculty trustee was instrumental in getting the Board to agree to a small across-the-board salary increase in a year in which it had been expected that no increases would be awarded. Faculty trustees were also responsible for the legislation that (for a time) made the vice-presidents, and the dean of faculties, ex officio non-voting members of the Board, although the consequences of this action are somewhat ambiguous. On none of these matters, it should be reiterated, did the faculty trustees act in concert.

How did the faculty trustees function during critical periods in the history of Roosevelt University?

As a group the faculty trustees were not particularly active or involved during the crisis periods which were studied. Certain administrative officers of the institution were very active and very much involved during these periods. That some of these administrative officers were also faculty-elected trustees was undoubtedly of importance. As trustees they had access to other trustees and an inside position with regard to the dissemination of information. In both crises studied these administrative officers challenged the position or authority of the president, in one case successfully, in one case not. In neither case were all of the faculty trustees united on the issues. In both cases administrative officers had been elected to the Board who were known to oppose the president. In both cases they were joined by other officers not so elected and by some of the lay trustees.

Did the faculty trustees help or hinder the resolution of these crises?

In some respects certain of the faculty-elected trustees, by opposing the president, were involved in the development of these crises. In both instances they viewed the crisis as having been caused by the president and to some extent this perception appears to be correct. None of the faculty trustees attempted or was able to bring about a compromise solution. The singular effort by one such trustee to bring all parties together socially in hopes that differences could be resolved was unsuccessful in its objective.

Did the faculty trustees assume a particular role during these periods?

As a group the faculty trustees did not assume a particular role. They did not attempt to mediate the situation nor were they a particularly vital link between the faculty and the Board, although to some extent they did convey information. In the first of the two crises the issues were brought to the entire faculty by the president who asked for their support. In the second issue the faculty as a whole was relatively uninvolved, although individual members of the faculty developed strong feelings about it. The role of some of the faculty trustees was to challenge and criticize the position and policies of the president, the role of others was to support him. At no time did the faculty trustees meet or caucus as a group either at their own or the president's initiative.

In situations of conflicting interests, whose interests were served by the faculty trustees?

The faculty trustees, with no exception known to this author, have acted in ways which they believed to be in the best interests of the University as a whole. That their judgment was not always concurred in by the president or by all of their faculty colleagues had to do with differences in vantagepoint, temperament, and assessment of the situation.

The faculty trustees, as the lay trustees, were often subject to conflicting principles in making difficult decisions.

For example, the principle of personal loyalty had on occasion to be balanced against the principle of what was thought, in the abstract, to be in the best interests of the institution. However, conflict of interest in the traditional sense of ulterior motives for personal gain or benefit did not occur. The faculty trustees did advocate increases in the faculty salary budget on a number of occasions; but these were across-the-board increases of benefit to the entire faculty not to them alone. Moreover, this advocacy was the result of their belief that this was of the highest urgency for the institution if it was to remain competitive for academic talent.

Did the faculty trustees behave during periods of crisis in ways similar to their behavior in general?

Yes, the crisis situations revealed their behavior in greater relief but it was essentially similar to that in non-crisis periods. At other times the trustees were divided in their support for or opposition to the president, except that in non-crisis times the opposition was more contained and less dramatic. At all times the faculty trustees acted as their own men, that is they were not directed in a particular manner by the Senate or by the president, they did not seek or arrive at a collective opinion, nor did they hesitate to oppose anyone or any position which they believed to be contrary to the best interests of the insitution.

Implications and Broader Questions

The study of the history of one institution cannot be the basis for sweeping predictions or for generalizations encompassing other institutions or other situations. Nevertheless an historical study may add to the understanding of past events, may suggest trends or patterns, and may provide insights useful in the interpretation of new events. This history of faculty trusteeship at Roosevelt University suggests implications for that institution which may be of interest to other institutions. Furthermore, it raises certain questions, broader than can be answered definitively by the available evidence, but to which some tentative answers can be given.

One such question which may be legitimately asked is: has faculty trusteeship benefited Roosevelt University? This is a question about which the various participants and observers are not in full agreement. The faculty's participation in the University's governance including their membership on the Board has been credited by many with maintaining a sense of mission, dedication, high morale, and relatively low turnover for a faculty which has not always had the most ample or the most modern facilities, the highest salaries, or the most abundant supporting services. It has been suggested that faculty membership on the Board has helped the institution withstand the outside hostility it faced particularly in its early years. Certainly Roosevelt University created a Board which has been free of the shortcomings of the board of its predecessor, Central YMCA College. The Roosevelt Board made no attempt to limit academic freedom--even during the McCarthy period when the University was under attack by the Broyles Committee of the Illinois General Assembly--or curtail the aspirations of the faculty and staff as to the type and quality of institution they wished to develop.

A related beneficial aspect of faculty participation in governance at Roosevelt University, including membership on the Board, has been the development of a distinctive institutional character which in some measure has set it apart from other colleges and universities. This distinctive character has helped provide a sense of identity and a rallying point for students, faculty and donors.

On the other hand, many have alleged that the University and its Board have exhibited certain weaknesses at various times over the years. Some attribute these to the active role taken by the faculty in the instituion's governance. For example, it has been suggested that the University has had more than its share of intra-institutional political activity and quarreling, particularly during its formative years. It is true that the record of faculty and board meetings does contain a great deal of outspoken debate and that issues were argued in caucuses, corridors, newsletters and broadsides. This seems to be the result of the revolutionary zeal which brought the institution into being. Each member of the faculty felt a sense of proprietorship in the new institution, each felt he was participating in the creation of a model democracy in American higher education. Debate was intense because issues mattered and because each member of the faculty felt an obligation as well as a right to express his opinion. Opportunities for informal as well as formal debate and the exchange of views were built into the governing system as when the Faculty decided that no constitutional amendment could be voted on during the Senate meeting in which it was first introduced, or when it decided that at least five days had to intervnene between the date the faculty received their ballots on a referendum and the date they cast their votes.

Some have not shared the feeling of transcendental importance attached by their colleagues to each issue, others have found the uncertainty and the unwillingness to accept the dictates of authority to be threatening or unsettling and accused the faculty of unnecessary quarreling. Some of the lay trustees unused to this type of governing structure may have been offended by the outpsokeness of the faculty. Others have seen it as a "healty outlet" for feelings and opinions. The very quality which gave rise to the institution and permitted it to survive under adverse circumstances does seem to have contributed to a sapping of its energies from time to time.

This paradox can be seen in other areas of University endeavor. Whereas the faculty labored to build a model of democracy (no matter how "radical" it might appear to outsiders), they initially adopted a rather conventional and conservative collegiate curriculum with, for the most part, little inter-disciplinary work and with orthodox teaching-methods. In part, this was due to the fact that most of the students transferred to the University with one or more years of conventional courses for which they wished to receive credit. But an argument can be made that much of the faculty's creative energy and zeal was directed towards institutional governance rather than towards innovation in curriculum. It also seems true that the faculty which came from Central YMCA College struggled to achieve the academic respectability they felt they had been denied at that institution with its secondary school remedial courses, and its history of having been a junior college. Riesman's dictum that "the upwardly mobile person in this country tends to support the structure of the ladder up which he climbed"[1] applies also to colleges and universities. This curricular orthodoxy may be changing somewhat since in recent years the University created a non-traditional degree program for adults (the Bachelor of General Studies) and it is currently developing a program of "innovative studies."

Another example of the seeming paradox in which the causes of success were also the causes of weakness was in the area of fund-raising and in securing support (and Board membership) from community leaders. Moral issues and revolutionary zeal were sometimes presented in a manner which alienated or offended those who did not become "true-believers." Furthermore, some lay leaders were reluctant or unwilling to participate on the board of an institution where they might have to argue with a staff member about institutional policy. However, this too seems to be changing as the University's position in the community becomes more secure and as current events make it appear less radical than it did in 1945.

A related issue in judging the value of Roosevelt University's pattern of governance is whether the faculty's participation on the Board and in other aspects of governance has made it a more cohesive institution than it might otherwise have been. The evidence suggests that itdid. Despite various struggles over the years, the institution has held together and grown stronger. It has been suggested that such structures as the joint budget committee and faculty trusteeship have made it unlikely that a faculty union with collective bargaining would develop. The institution's clerical employees who do not participate in these governing procedures have been represented by a collective bargaining agreement since the early 1950's--the first college clerical staff to be unionized. If they had not participated as a full partner in all the affairs of the institution the faculty might have travelled a similar road.

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[1] David Riesman, "Planning in Higher Education: Some Notes on Patterns and Problems," Human Organization, XVIII, No. 1 (Spring, 1959), 14.

Opponents of faculty trusteeship have argued that it is nor organizationally neat, that it dilutes or challenges the authority of the president. No section of society is administratively neat any longer. This is particularly true in the administration of higher education which has always had elements of collegial as well as hierarchial organization. Students, government, and community groups have now joined the faculty in wanting "a piece of the action." The American bastion of free enterprise, private business, is constrained by labor unions, regulatory agenices, taxation, and articulate consumers. Even the church hierarchy is being challenged from within. It may be unrealistic, therefore, to believe that with such forces at work in all aspects of society that they can be staved off by lay boards in higher education. Faculty participation on a governing board is no assurance that a faculty union will not arise and demand a collective bargaining agreement. But insofar as faculty trusteeship is successful and represents the full involvement of the faculty in all policy decisions, it would seem to provide less fertile ground for the adversary (or "boss-worker") relationship out of which unions arise, and may be preferable to all concerned.

Because this was an historical study, no attempt was made to statistically sample the current opinions of trustees and faculty regarding faculty participation on the Roosevelt University Board of Trustees. Nonetheless, the interviews with past and present trustees did shed some light on this question. Some of these trustees were opposed to faculty participation on theoretical grounds, others suggested changes in the procedures by which the faculty trustees get on the Board (for example, it was suggested that the Board itself should elect the faculty trustees, perhaps from a larger list of nominees submitted by the president or the faculty). On balance, however, and with some exceptions, the majority of the trustees interviewed appeared to favor the practice of faculty trusteeship as it has been experienced by Roosevelt University.

Any summary judgment as to whether faculty trusteeship is a good thing for a particular institution is necessarily subjective and must be made with caution. In fine, however, the advantages of this mode of governance for Roosevelt University appear to the author to have outweighed their disadvantages. Although it has given greater visibility to some of the intramural debates and political activity than perhaps was justified and although it may have alienated some of the lay trustees or potential supporters of the University, elected faculty participation on the Roosevelt University Board of Trustees does seem to have helped create high morale and a feeling of involvement in the institution on the part of the faculty, some of whom were attracted to the University by this feature of governance in the first instance. Moreover, the involvement of faculty on the governing board and in other areas of decision making has given Roosevelt University a unique identity of which it is quite proud. While not necessarily serving as a model for any other institution, Roosevelt University's generally successful experience with faculty trusteeship may well be of interest to other colleges and universities where this issue is being considered.

If an institution does choose to adopt the policy of having faculty representation on its board, the Roosevelt experience suggests certain issues which need to be thought through. One of these is how the faculty representatives should be put on the board. They might be elected by the faculty, as they are at Roosevelt; they might be elected by the board; or they might achieve membership by virtue of some other faculty office. Faculty election does have certain drawbacks. There were times in Roosevelt's history when there was considerable political activity focused around the election of faculty trustees. However, this activity was simply one measure of the importance attached to these positions by the faculty. The alternative of having the faculty trustees elected by the board seems attractive until one reflects upon how it would work. Not knowing the members of the faculty, a board in such a position would undoubtedly call upon the president to submit recommendations. The faculty trustees so elected would really be presidentially appointed and so could be accused of lacking independence. There is no assurance that such trustees would have the confidence or reflect the opinions of the faculty. The other alternative, ex officio trusteeship for certain members of the faculty, also has a certain attractiveness. If an institution does determine to have faculty trustees, one such position might be awarded to the chairman of the faculty senate, say, by virtue of office. If the faculty elected this officer in the first place, such an arrangement would simplify the election procedure and assure the representation of faculty opinion on the board. The liability of this arrangement is the concentration of too much authority in one office. This, indeed, might weaken the position of the president.

If the faculty does elect one or more trustees, are there any election procedures which are to be preferred? The Roosevelt experience suggests, at least to this author, that the election of several trustees simultaneously by means of proportional representation is not the best procedure to use. A board may well benefit from having represented on it faculty members who while not necessarily expressing an "official" faculty point of view at least have the confidence and respect of a majority of the faculty. The use of proportional representation encourages the election of trustees who reflect the views of only a minority (and sometimes a small minority) of the faculty. This type of factional representation may be highly desirable in a deliberative body of the faculty, such as a senate, but it does not appear to be productive to subject an entire board to the opinions of only a minority of the faculty. Moreover, when a faculty trustee expresses an opinion, the lay trustees have no way of knowing whether they are listening to the views of a majority of the faculty, of a small minority, or of one man.

Arguments about the composition of governing boards are often raised by those who forget the diverse functions which such a board performs. The board of a private university like Roosevelt is responsible for raising funds for the institution to help offset the difference between tuition and other income, and full costs. This is probably its most important function. To achieve this function it must include individuals who are well-to-do in their own right or who have access to wealth. These individuals have to believe in the importance of the institution and the mission it performs. A board is judged by the extent to which it attracts such individuals as members and motivates them.

In this respect some questions can be raised about the role of the faculty trustees. If they simply occupy spaces which would otherwise be held by lay trustees, they are a liability. If they influence board affairs to the extent that they interfere with the motivation of the lay trustees and their sense of importance, they are also a liability. However, if they can convey to the lay trustees something of their enthusiasm in working with students and with ideas, if they can be a source of inspiration to the board, helping it to strive to reach higher objectives, then they serve an important role. The evidence suggests that the Roosevelt faculty trustees have generally functioned in this manner. Perhaps this was more true during the early years of the institution when their idealism was greater, but it continues to be true in large measure. The faculty trustee who dampens the enthusiasm or ardor of a lay trustee is, in this respect, being counter-productive. The lay trustee is freer than the faculty member to transfer his allegiance and his benefaction to another institution or another cause

Boards are also called upon to legislate on various matters, as when the Roosevelt Board was called upon to decide the issues related to the restoration of the Auditorium Theatre. To fulfill this function a board needs a balance of viewpoints and perspectives. A faculty trustee can play an important role in such matters if he brings to the board some wisdom about the kinds of issues a board decides and a determination to look out for the interests of the institution as a whole. A faculty trustee who distorts the legislative process by reflecting too narrow an interest is a liability, whether this be the result of inexperience, intemperance, or parochialism.

A mature faculty trustee, viewing the needs of the institution as a whole, may well come to different conclusions than the president. In such an event troublesome issues are raised. The faculty trustee has an obligation to express and defend his judgment. He must feel the same freedom and independence as do the other trustees if he is going to be a useful member of the board. However, the opinions and judgments of the faculty trustee may not convince the other trustees, but may only dampen their enthusiasm and their determination to carry out the administration's policies which they have adopted. On the other hand, it is just as bad if the faculty trustee, intimidated by the authority or the sanctions of the president, lets his judgment be clouded or his independence compromised.

A board has other functions in addition to fund-raising and legislating, as was noted in Chapter II. It must help the institution relate to its publics, it must establish broad policies and long-range goals and see to it that there are adequate staff, facilities, and programs to reach these goals, and it must (or should) conduct periodic assessments and appraisals to determine whether these policies are being carried out and these goals achieved. For all these and other functions different kinds of talent are required. Few board members can carry out all of these responsibilities equally well. It is the function of the board chairman to determine each trustee's areas of strength and arrange for those strengths to be utilized in the service of the institution.

It is also the responsibility of the board chairman to see to it that all new trustees, faculty no less than lay, are educated about their responsibilities as a trustee and are oriented towards the needs, aspirations, and best interests of the institution as a whole. Even though a trustee may owe his place on the board to the actions of another body (as in the case of election by a faculty senate or by a state legislature), the board chairman should not leave the orientation and education of the trustee up to that body but should relate to the new trustee in the same manner as if he had been elected by the board itself. To do otherwise is to suggest that such a trustee has greater allegiance to the other body than to the board; a suggestion that may be self-fulfilling. Failure to properly orient and involve a new trustee may lead to a loss of talent and assistance for the institution and the board, or, worse, may leave the trustee with an inadequate perspective for sound decision making. This responsibility and opportunity may not have been completely recognized by all of the Roosevelt University board chairmen in the past.

A properly oriented faculty trustee can be of special assistance in helping to formulate the academic objectives of the institution and in helping interpret the faculty to the board and the board to the faculty. It would be wrong to expect the faculty and the lay trustees to exhibit the same areas of strength or to perform the same responsibilities for the board. This has been only recently recognized by the Roosevelt Board and might be carried further. But the recognition that there are areas of special strength does not excuse any trustee from contributing something in every area: each should be conversant with the institution's mission, goals, and achievements; each should make some contribution, in keeping with his means, towards the institution's financial needs; each should attend board meetings. Some of the trustees have not recognized this desideratum and have given only of their specialty (time or money or advice). In this some of the faculty, as well as some of the lay trustees, have been culpable.

A number of authors have suggested the merit of having distinguished educators from other institutions elected to membership by a board. If there is merit to having trustees of this type, faculty-elected trustees are no substitute. Except for Floyd Reeves, who served for only one year, Roosevelt has had no faculty from other institutions serve on its Board. Such a trustee would be a liability if he merely reflected how things were done at his own institution. But if he was circumspect in this regard, the advantages of such a perspective for a board might be considerable.

Perhaps the most troublesome issue raised by the Roosevelt experience is the question of whether administrative officers should be eligible for election by the faculty to the board. Some of the most effective of the faculty trustees have been administrative officers. On the other hand their trusteeship has at times posed the greatest difficulties for the institution. The dilemma arises when an administrative officer, elected to the board by the faculty, is opposed to a policy advocated by the president. Should he mute his opposition to a policy he believes wrong?

Should he confine that opposition to administrative forums, such as Roosevelt's Administrative Council, and not express it on the board? It is understood in academic communities that many matters must be approved by a succession of committee agencies. But it can demoralize a president's leadership if a member of his own administration opposes a policy in an administrative body, again in the senate (where both may hold membership), and again on the board itself. Administrative trustees may experience a conflict of principles between their convictions on an issue and their loyalty to the president. Members of the teaching faculty are not responsible to the president in the same direct way as is an administrative officer, and thus fewer dilemmas arise for them. The provision which limits to no more than two the number of administrative officers of Roosevelt University who may serve as faculty trustees seems to have been well advised. An institution adopting the practice of faculty trusteeship might ask whether that limitation should be even more stringent.

Suggestions for Further Study

There are a number of issues touched upon by this study which require further investigation. One such issue is the history of faculty trusteeship at the other colleges and universities which have tried it. How did it arise and what were the outcomes at other institutions which have had faculty trustees? Do the experiences of these institutions parallel those of Roosevelt?

The issue of student representation on governing boards also needs to be studied. What are the experiences with this type of governing structure, even newer on the American scene?

Related to both these issues is the evolution and development of governing boards in general. Some studies have revealed a gradual shift in the composition of governing boards over the past century from a predominance of clergy to business and professional men with a recent inclination towards the inclusion of some minority members. Is this evolutionary process going on at a constant rate or is it accelerating? Has there been a concomitant or parallel evolution in the concept of the role of the governing board in American higher education as evidenced by changes in the kinds of decisions boards are called upon to make now as opposed to those they made ten, twenty, or fifty years ago.

There has been a considerable literature over the years on the responsibilities of college and university governing boards. This literature might be analyzed to determine whether it reveals any changes over time in the concept of what governing boards should do for the colleges and universities they control.

Some professional associations of faculty, such as the AAUP, have historically held some reservations about faculty trusteeship. The current attitude of the AAUP and that of other professional associations and collective bargaining units which represent college faculty might be examined to determine if there are differences between them on this issue or if there have been changes in their attitudes towards it.

A Final Word

It is hoped that this study will be of interest to the members of the faculty and the Board of Trustees of Roosevelt University whose experiences with faculty trusteeship it records. Perhaps it may have some usefulness to those at other institutions where this mode of governance has been adopted or is being considered. This history may also be of interest as a record of a highly democratic non-traditional governing board.

The Roosevelt experience, although unique in many ways, has been the product, in part, of social forces and changes, which in some manner effect most of American higher education. The democratization of colleges and universities in this country to include a greater diversity of students and new governance roles for both faculty and students is a movement which began, as Roosevelt University did, at the end of World War II and recently has gained momentum. Perhaps the study of one institution which has experimented with a form of governance involving faculty as trustees can facilitate those at other institutions who would have governing boards be responsive to contemporary needs and demands. If changes need to be made in the governance of higher education in America, they should be made as the result of carefully considered plans rather than as hasty responses to confrontation.

APPENDIX I

ROOSEVELT UNIVERSITY TRUSTEES PAST AND PRESENT

Faculty Trustees of Roosevelt University: 1945-1970

		Date of Service	Length of Service
1.	Bacon, Madi (Music--Dean)	1945	<1
2.	Bowersox, Hermann (A&S)	1966-68, 1969-	3
3.	Cosbey, Robert (A&S)	1963-66	3
4.	Creanza, Joseph (Music-- Dean)	1945-46, 1947-52	6
5.	DeBoer, John (A&S) (d)*	1945-47	2
6.	DeLacy, Mrs. Estelle (A&S)	1946-47	1
7.	Dorfman, Saul (Music)	1954-57	3
8.	Golay, John F. (d) (Dean)	1959-60	1
9.	Gordon, Edward (Bus.)	1961-67	6
10.	Gore, Grenville D. (A&S)	1949-54, 1959-62	8
11.	Greenberg, Bernard (d) (A&S)	1957-60	3
12.	Hillman, Arthur (A&S Dean)	1947-50	3
13.	Hooker, Richard (A&S)	1952-55, 1964-67	6
14.	Huelster, Lowell (Cont.)	1945-46, 1955-58	4
15.	Ivy, Robert (A&S)	1966-69	3
16.	Johnson, Henry (A&S)	1945-51, 1958-61	9
17.	Johnson, Paul (A&S)	1968-	2
18.	Leys, Wayne A. R. (Dean)	1945-50, 1953-59	11
19.	Lieber, Eugene (d) (A&S)	1961-64	3
20.	McCulloch, Frank (Labor Ed.)	1946-47	1
21.	Ruby, Lionel (A&S)	1953-59	6
22.	Runo, Robert (A&S)	1959-68	9
23.	Sandke, Thomas (A&S)	1967-70	3
24.	Seevers, Charles H. (d) (A&S)	1945, 1958-61	4
25.	Sheldon, H. Horton (d) (Dean)	1960-63, 1964	4
26.	Silverman, Lawrence (Dean)	1970-	<1
27.	Specthrie, Samuel (Bus.)	1947-52	5
28.	Stern, Carol Simpson (A&S)	1970-	<1
29.	Steward, Donald H. (Registrar)	1945	<1
30.	Street, Alan (A&S)	1955-58	3
31.	Taft, Kendall (A&S)	1950-53, 1962-66	7
32.	Watson, George H. (A&S, Dean)	1951-54, 1967-70	6

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*d = deceased

Average length of service for faculty trustees: 4.58 years.

		Date of Service	Length of Service
41.	Mayer, Beatrice (Mrs. Robert B.)	1966-69	3
42.	McCulloch, Frank*	1945-46	1
43.	McGrath, John E.	1945-47	2
44.	Mesirow, Norman	1969-	1
45.	Mullenbach, Philip	1961-	9
46.	O'Malley, Patrick	1967-	3
47.	Peske, Edgar	1968-	2
48.	Pitchell, Robert J. [President]	1964	1
49.	Pollak, Robert	1948-60	12
50.	Pugh, Jonathan	1961-66	5
51.	Ratner, Dr. Milton	1965-	5
52.	Rautbord, Dorothy (Mrs. Samuel)	1966-	4
53.	Reeves, Floyd W.	1945-46	1
54.	Regnery, Henry	1969-	1
55.	Reuther, Walter (d)	1950-61	11
56.	Robbins, Jerome (Alumnus)	1959-	11
57.	Rotman, Morris	1970-	<1
58.	Rubloff, Arthur	1970-	<1
59.	Salk, Harry (d)	1960-68	8
60.	Sampson, Judge Edith	1957-	13
61.	Schrayer, Max Robert	1955-	15
62.	Spachner, Beatrice (Mrs. John V.)	1957-	13
63.	Sparling, Edward James [President]	1945-63	19
64.	Spear, Louis	1961-	9
65.	Spencer, Lyle M. (d)	1947-68	21
66.	Stamps, James E.	1952-67	15
67.	Stapleton, William	1956-60	4
68.	Stern, Gardner	1949-53	4
69.	Stone, Jerome	1953-	17
70.	Weil, Rolf A.* [President]	1965-	5
71.	Weinress, Morton	1960-	10
72.	Wexler, Jerrold	1966-68	2
73.	Wolberg, Samuel	1949-51	2
74.	Wright, Frank M., Jr.	1966-69	3
75.	Zeisler, Claire (Mrs. Ernest) (d)**	1946-47	1

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*also a faculty trustee

**formerly Mrs. Florsheim

Average length of service for non-faculty trustees: 7.13 years.

Average length of service for trustees on Board as of December, 1970: 8.03 years.

		Date of Service	Length of Service
33.	Weil, Rolf A. (Bus. Dean)	1960-64	4
34.	Weisskopf, Walter (A&S)	1950-53, 1954-60, 1960-	19
35.	Williams, Bismarck (Bus.)	1968-	2
36.	Wirth, Otto (A&S, Dean)	1953-59, 1965-	11

Non-Faculty Trustees: 1945-71

1.	Allen, Harland	1945-47, 1949-	23
2.	Ballowe, James M. (Alumnus)	1951-53	2
3.	Bassett, Robert	1969-70	1
4.	Bialis, Morris	1945-	25
5.	Campbell, Judge William J.	1945-59	14
6.	Davison, Charles	1970-	<1
7.	DeCosta, Alyce (Mrs. Edwin)*	1970-	<1
8.	Dollard, Charles	1964-	6
9.	Embree, Edwin R.	1945-50	5
10.	Fagen, Mildred (Mrs. Abel) (d)	1963-71	8
11.	Field, Marshall III (d)	1946-54	8
12.	France, Erwin	1969-	1
13.	Frank, A. Richard (d)	1946-50, 1951-52	5
14.	Friedman, Harold	1957-66	9
15.	Geppert, Otto (d)	1953-70	17
16.	Gibson, Truman K., Jr.	1947-52	5
17.	Gidwitz, Gerald	1957-	13
18.	Godfredsen, Svend A.	1946-49	3
19.	Gorman, Patrick E.	1960-	10
20.	Gustafson, Elmer T.	1971-	<1
21.	Harrison, Anne (Nancy) Blaine	1950-51	1
22.	Heyman, Herbert	1959-68	9
23.	Hirsch, Morris	1957-60	3
24.	Hunter, Gregg A.	1969-	1
25.	Hunter, Kenneth (d)	1945-46	1
26.	Ickes, Harold (d)	1948-50	2
27.	Jones, Judge Mark (Alumnus)	1968-	2
28.	Julian, Percy L.	1945-	25
29.	Kamin, Meyer (Alumnus)	1953-59	6
30.	Kamin, Robert (Alumnus)	1965-	5
31.	Kennedy, Winston (Alumnus)	1962-	8
32.	Kerr, Robert Willis	1960-65	5
33.	King, Thomas V.	1969-70	1
34.	Klutznick, Philip	1958-61, 1963-	10
35.	Kohler, Eric L.	1947-68	21
36.	Kuh, Mrs. Edwin, Jr.	1954-57	3
37.	Lapp, John (d)	1951-60	9
38.	Lawless, Dr. Theodore K. (d)	1963-71	8
39.	Lerner, Leo A. (d)	1945-60	15
40.	Maremont, Arnold H.	1945-50, 1951-54	8

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*Formerly Mrs. Walter E. Heller

APPENDIX II

MEMBERSHIP OF THE BOARD OF TRUSTEES OF ROOSEVELT UNIVERSITY BY CLASSES
1945-48 TO 1970-73

Founding Trustees (April 17, 1945)

Harland Allen
Edwin Embree, Chairman
Percy Julian
Leo A. Lerner
John E. McGrath
Floyd W. Reeves
Edward J. Sparling

Trustees elected between April, 1945 and October, 1945

Wayne A. R. Leys	April 25, 1945
Arnold Maremont	June 19, 1945
Morris Bialis	August 9, 1945
Frank McCulloch	September 6, 1945
Kenneth Hunter	September 15, 1945

Faculty consultants to Board (elected May 2, 1945), became faculty trustees July 26, 1945.

Madi Bacon
Joseph Creanza
Glenn Wiltsey (replaced by Charles Seevers, July 19, 1945)
Donald Steward

Lay Trustees
Class of 1945-48 (elected October 27, 1945)

Percy Julian
Edwin Embree
Arnold Maremont
Frank McCulloch
Morris Bialis

Faculty Trustees
Class of 1945-46

Wayne A. R. Leys (replaced by Estelle DeLacy, December, 1945)*
Joseph Creanza
John DeBoer
Henry Johnson
Lowell Huelster

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*Leys was elected as a public trustee in April, 1945; in October he was elected as a faculty trustee; in December he was re-elected as a public trustee (for one year) and the faculty was allowed to elect a replacement.

Lay Trustees	Faculty Trustees
Class of 1946-49[1] Marshall Field III A. Richard Frank Svend Godfredsen (September 20, 1946) Mrs. Ernest Zeisler Robert Pollak (May 27, 1948) Truman K. Gibson, Jr. (March 12, 1947)	Class of 1946-47 John DeBoer (replaced by Walter Weisskopf, September 17, 1947) Estelle DeLacy Henry Johnson Wayne A. R. Leys Frank McCulloch Class of 1947-48 Henry Johnson Class of 1947-49 Joseph Creanza Samuel Specthrie
Class of 1947-50	
Leo A. Lerner Judge William Campbell Lyle M. Spencer (March 12, 1947) Eric L. Kohler	Wayne A. R. Leys Arthur Hillman
Class of 1948-51	
Percy Julian Edwin Embree Arnold Maremont Harold Ickes Gardner Stern (April 19, 1945)	Henry Johnson Grenville D. Gore (May 25, 1949)
Class of 1949-52	
Marshall Field III A. Richard Frank Truman K. Gibson, Jr. Robert Pollak Anne Blaine Harrison Harland Allen Samuel Wolberg Walter Reuther	Samuel Specthrie Joseph Creanza
Class of 1950-53	
Judge William Campbell Eric L. Kohler Leo A. Lerner Gardner Stern Lyle M. Spencer Otto Geppert	Kendall B. Taft Walter Weisskopf

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[1] The lay members of each class were elected at the annual meeting on the fourth Thursday of October of each year unless otherwise noted.

Lay Trustees		Faculty Trustees
James Ballowe, alumnus Morris Bialis A. Richard Frank Percy L. Julian John Lapp Arnold Maremont	Class of 1951-54	Grenville D. Gore George H. Watson
Harland Allen Marshall Field III Robert Pollak Walter Reuther James E. Stamps	Class of 1952-55	Richard Hooker Joseph Creanza
Judge William J. Campbell Otto Geppert Meyer Kamin, alumnus Eric Kohler Leo Lerner Lyle M. Spencer Jerome Stone	Class of 1953-56	Wayne A. R. Leys Lionel Ruby Otto Wirth
Morris Bialis Percy Julian John Lapp Mrs. Edwin Kuh, Jr.	Class of 1954-57	Walter Weisskopf Saul Dorfman
Harland Allen Robert Pollak Walter Reuther James Stamps Jerome Stone	Class of 1955-58	Lowell Huelster Alan Street
William Stapleton Judge William J. Campbell Otto Geppert Meyer Kamin Eric L. Kohler Leo A. Lerner Lyle M. Spencer	Class of 1956-59	Wayne A. R. Leys Otto Wirth Lionel Ruby

Lay Trustees		Faculty Trustee
Morris Bialis Percy Julian John Lapp Patrick Gorman Judge Edith Sampson Beatrice Spachner (Mrs. John V.)	Class of 1957-60	Bernard Greenberg Walter Weisskopf
Harland Allen Philip Klutznick Robert Pollak Walter Reuther James Stamps Jerome Stone Max Robert Schrayer	Class of 1958-61	Charles Seevers Henry Johnson
Otto Geppert Herbert Heyman Eric L. Kohler Leo A. Lerner Jerome Robbins, alumnus Lyle M. Spencer William Stapleton	Class of 1959-62	John Golay (replaced by Walter Weisskopf, May, 1960) Grenville D. Gore Robert Runo
Morris Bialis Harold Friedman Gerald Gidwitz Patrick Gorman Percy Julian John Lapp Judge Edith Sampson Beatrice Spachner (Mrs. John V.)	Class of 1960-63	H. Horton Sheldon Rolf A. Weil
Harland Allen Philip Mullenbach Max R. Schrayer James Stamps Jerome Stone	Class of 1961-64	Eugene Lieber Edward S. Gordon
Otto Geppert Herbert Heyman Robert W. Kerr Eric L. Kohler Jerome Robbins Harry Salk Lyle M. Spencer Morton Weinress Winston Kennedy, alumnus	Class of 1962-65	Kendall B. Taft Robert Runo Walter Weisskopf

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Louis Spear
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Paul Johnson
Walter Weisskopf
Bismarck Williams

Class of 1969-72

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Charles Dollard
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APPENDIX III

HISTORY OF CONSTITUTIONAL PROVISIONS CONCERNING FACULTY TRUSTEES AT ROOSEVELT UNIVERSITY

Date of Faculty Action	Date of Board Action	Constitutional Provision
	May 8, 1945	Faculty invited to elect four representatives to sit on the Board as consultants until the first annual meeting.
May 25, 1945		Faculty elect four members as consultants to the Board for the interim period. Open nominations and voting by preferential ballot.
	July 12, 1945	Decision that full Board status was now appropriate for the faculty representatives. Faculty opinions invited re. Bylaw provisions.
July 19, 1945		Original provisions formulated and approved by Faculty, calling for five directors, not more than two of whom could be full-time administrative officers. Elections for one-year terms. No more than three successive terms for a faculty Board member.
	July 26, 1945	Faculty provisions reported to the Board. Board elects the four faculty consultants to full membership to serve until the annual meeting (October).
	September 26, 1945	Board approves Bylaws containing all the provisions of the faculty resolution except the limitation on the right of succession.

Date of Faculty Action	Date of Board Action	Constitutional Provision
October 15, 1945		Open nominations for faculty Board members. Meeting adjourned for one week so their qualifications could be considered and discussed.
October 22, 1945		Elections for faculty Board members, by preferential ballot.
November 3, 1945	November 8, 1945	Faculty adopts its Constitution. No provisions regarding faculty membership on the Board.
April 8, 1946		Faculty elects trustee to fill vacancy caused by Board's election of Leys as a public member. Nominating ballot used to select two nominees. Run-off election between top two nominees
October 16, 1946		Election of faculty trustees conducted by preferential ballot without nominations.
October 23, 1946	November 14, 1946	Faculty recommends and Board approves change in Bylaws for staggered three-year terms for its trustees, beginning October 19, 1947.
January 17, 1947	March 12, 1947	Faculty adopts and Board ratifies constitutional amendment specifying the provisions for the election of faculty trustees: Secret nominating ballot required to nominate twice as many candidates as vacancies. Election by secret ballot. Candidates with the largest number of votes win.
October 15, 1947		To start system of staggered terms it was still necessary to elect five trustees (for periods of one, two and three years). Faculty voted 62-49 to conduct these elections by proportional representation.

Date of Faculty Action	Date of Board Action	Constitutional Provision
April 21, 1948	May 27, 1948	Faculty amends Constitution to change elections from October to May and provide open nominations.
February 24, 1949	December 15, 1948	Board enlarged to twenty-five and number of faculty trustees increased from five to six (two in each of three three-year classes).
	November 15, 1951	Board adopts recommendation of its Executive Committee that it should be the practice of the Board to elect not less than two faculty Board members to the Executive Committee. Bylaws amended to increase Executive Committee from seven to nine.
	May 27, 1953	Board increases its size from twenty-five to thirty members, retaining the same ratio of faculty members. Number increased to seven.
May 15, 1957	October 16, 1957	Senate proposes and Board accepts that the two vice-presidents and the dean of faculties be made ex officio members of the Board without vote, this not to take precedence over their right to be elected as voting members. This provision neither proposed nor adopted as a Constitutional amendment.
	April 13, 1961	Executive Committee of the Board recommends increasing Board membership from thirty-three [*sic*] to forty, decreasing faculty membership from seven to six. Tabled.
May 17, 1961		Faculty discuss whether to increase, decrease, or maintain same number of faculty trustees. Vote to maintain the number at seven.

Date of Faculty Action	Date of Board Action	Constitutional Provision
	October 26, 1961	Board amends Bylaws increasing its size from thirty-three [*sic*] to forty-one. Number of faculty trustees maintained at seven.
	December 2, 1970	Bylaws amended to increase Executive Committee from nine to eleven members.

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